

# FY07 SMART Planning



*Planning with Purpose*

**Bob Riley**  
**Governor**

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## The Governor's Strategic Priorities: A Statewide Planning Overview

The primary purpose of **SMART** Planning is to improve performance thus producing desired results. This is done by focusing on strategic goals, allocating limited resources to accomplish those goals and measuring performance and results to achieve greater accountability. Agency plans will be based on the Governor's Vision and Priorities which describe the Governor's view of the mission of state government, and the vision, values, philosophy and goals of his Administration.

### **THE MISSION OF STATE GOVERNMENT**

*Our mission is to transform Alabama's government fundamentally so that its central focus is to serve the people of Alabama ethically and efficiently in order that all sectors of our state, private and public, can achieve their potential.*

## **OUR VALUES**

### **1. Trust.**

For Alabama to achieve its potential, its people must first trust their government. We will build trust by telling the truth, conducting an open administration, making decisions on the merits, eliminating conflicts of interest, maintaining the highest ethical standards and driving out waste. In all that we do, we will strive to set an example and exhibit such character as will make the people of this state proud of their government.

### **2. Excellence.**

Alabama is capable of excellence in all aspects of its life. We will seek to raise aspirations, to achieve excellence and to lift all functions of state government to world-class levels.

### **3. Servanthood.**

We are servants of the people of the state of Alabama. We will first listen to them and then commit ourselves to serving their interests and enhance the quality of their lives. We will be wise and frugal stewards of state resources and of every dollar entrusted to us.

### **4. Results.**

How we do things is of utmost importance, and we will conduct all of our affairs in accordance with these values. We acknowledge, however, that we are equally accountable for the results we accomplish.

*Our ultimate accountability in everything is to our Creator in whom we put our trust. May God bless Alabama.*

## **OUR PHILOSOPHY OF STATE GOVERNMENT**

The job of state government and its employees is to serve the hardworking people of Alabama in a manner that is worthy of their investment and representative of their values. Accordingly, we will promote the following core principles:

- Our state and its future are more important than politics or individual recognition.
- Government should be limited in size and mission, but it must be highly effective in performing the tasks it undertakes.
- Decisions affecting individual Alabamians, in most instances, are best made by those individuals, their families, and the local government closest to their communities.
- Competition and personal responsibility are the greatest incentives for achievement and excellence. They inspire ingenuity and require individuals to set their sights high.
- Public administration must be open and honest, pursuing the high road rather than the expedient course. We must be accountable to taxpayers for our actions.
- State government has a responsibility to safeguard taxpayer dollars by eliminating waste and abuse, and providing efficient and honest government.
- Finally, state government should be humble, recognizing that all its power and authority are granted to it by the people of Alabama, and those who make decisions wielding the power of the state should exercise their authority cautiously and fairly.

## **OUR PRIORITIES FOR STATE GOVERNMENT**

Governor Riley is committed to reforming state government, improving the quality of education for all of Alabama's children, and working to expand the economy and create jobs.

In an effort to assist state government in reaching these goals, the Governor has identified the following priorities of government with associated expectations.

**The purpose of this document is to provide state agencies with a list of the Governor's top priorities to be used as an overarching framework for the development of agency plans. This is not an exhaustive list of the Governor's goals and objectives.**

### **PRIORITIES**

- ★ **REFORM STATE GOVERNMENT.**
- ★ **IMPROVE THE QUALITY OF EDUCATION FOR ALL OF ALABAMA'S CHILDREN.**
- ★ **EXPAND THE ECONOMY AND CREATE JOBS.**
- ★ **IMPROVE HEALTH AND HUMAN SERVICES FOR ALABAMA'S VULNERABLE CHILDREN AND ADULTS.**
- ★ **IMPROVE THE SAFETY OF PEOPLE AND PROPERTY.**
- ★ **CONSERVE AND PROTECT OUR NATURAL RESOURCES.**

## **Priority 1. Reform State Government**

*“To be recognized by citizens as the most efficient, accountable, responsive, and trusted state government in the country.”*

- Establish and maintain the highest standards of ethical behavior.
- Create and implement a strategic management system that links agency plans to budgeting and performance measures.
- Increase the transparency of state government to foster greater accountability.
- Improve the delivery of services to the people of Alabama while reducing costs.
- Successfully conclude pending major class-action lawsuits against various state agencies.
- Slow the rate of growth in state and education employee health insurance costs.

## **Priority 2. Improve the quality of education for all of Alabama’s children.**

*“Provide the highest quality educational system possible so that all Alabamians are prepared to compete with the best students anywhere.”*

- Improve student achievement in the public schools of Alabama.
- Increase the number of schools with the Alabama Reading Initiative and the Alabama Math, Science, and Technology Initiative.
- Reduce the number of schools/school systems that fall below state benchmarks for academics, discipline, and financial management based on the State Board of Education’s accountability system.
- Strengthen teacher and administrator effectiveness and leadership.
- Improve the coordination of higher education decision making in Alabama.
- Establish an integrated, efficient distance learning program to offer advanced course opportunities to all Alabama high school students.

### **Priority 3. Expand the economy and create jobs.**

*“Create a favorable business climate that results in a prosperous and growing economy, providing greater opportunities for all Alabamians.”*

- Increase the number of new jobs announced by new and existing companies.
- Expand the state’s economic development initiatives through the use of the Capital Improvement Trust Fund (CITF).
- Improve the education levels and skill that Alabamians offer to employers through a focused workforce development program.
- Increase the number of new job announced in the state, including distressed rural counties.
- Increase participation in adult education and high-priority career/technical programs in the state, including distressed rural counties.
- Improve physical infrastructure to support and sustain economic development, and increase the percentage of total DOT dollars spent on building and maintaining infrastructure versus administration.
- Promote and enhance a strong farm economy.
- Protect and expand the state’s military installations.

### **Priority 4. Improve health and human services for Alabama’s vulnerable children and adults.**

*“Provide health and human services through an efficient, effective and user-friendly system that promotes the health, responsibility and self-sufficiency of individuals and families.”*

- Increase the number of counties with integrated health and human services delivery systems, which include both public and private service providers.
- Control growth in spending in the state Medicaid program while maintaining quality healthcare services.



**Priority 5. Improve the safety of people and property in Alabama.**

*“Protect Alabamians by enforcing laws quickly and fairly; maintaining disaster preparedness and response plans; policing public highways; and confining, supervising and rehabilitating offenders in a cost-effective manner.”*

- Reduce recidivism rates through an increased investment in community corrections and other alternative rehabilitation programs.
- Reduce the number of highway traffic fatalities.
- Reduce the amount of time it takes to process forensic data.

**Priority 6. Conserve and protect Alabama’s natural resources.**

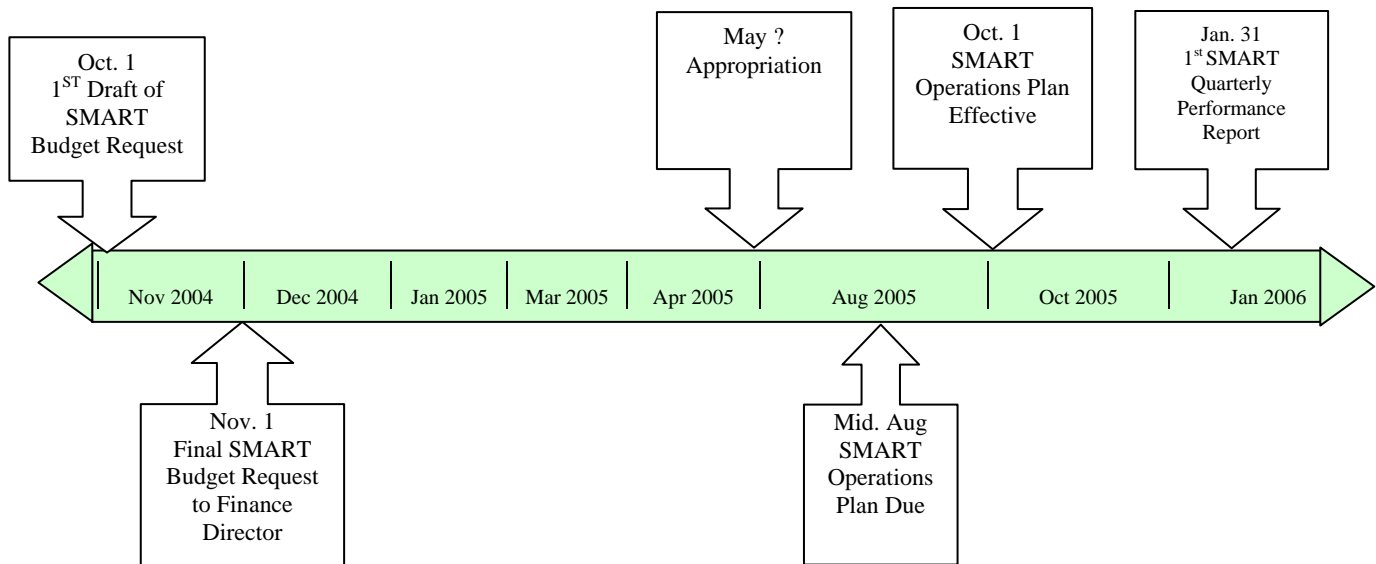
*“Conserve, protect and enhance Alabama’s natural resources in a manner that encourages sustainable economic development and promotes the responsible stewardship of those resources.”*

- Protect and improve the vitality of Alabama’s wildlife population.
- Protect and improve Alabama’s air and water resources.
- Protect public health and the environment by cleaning up polluted sites in a cost-effective manner.

# SMART Timeline

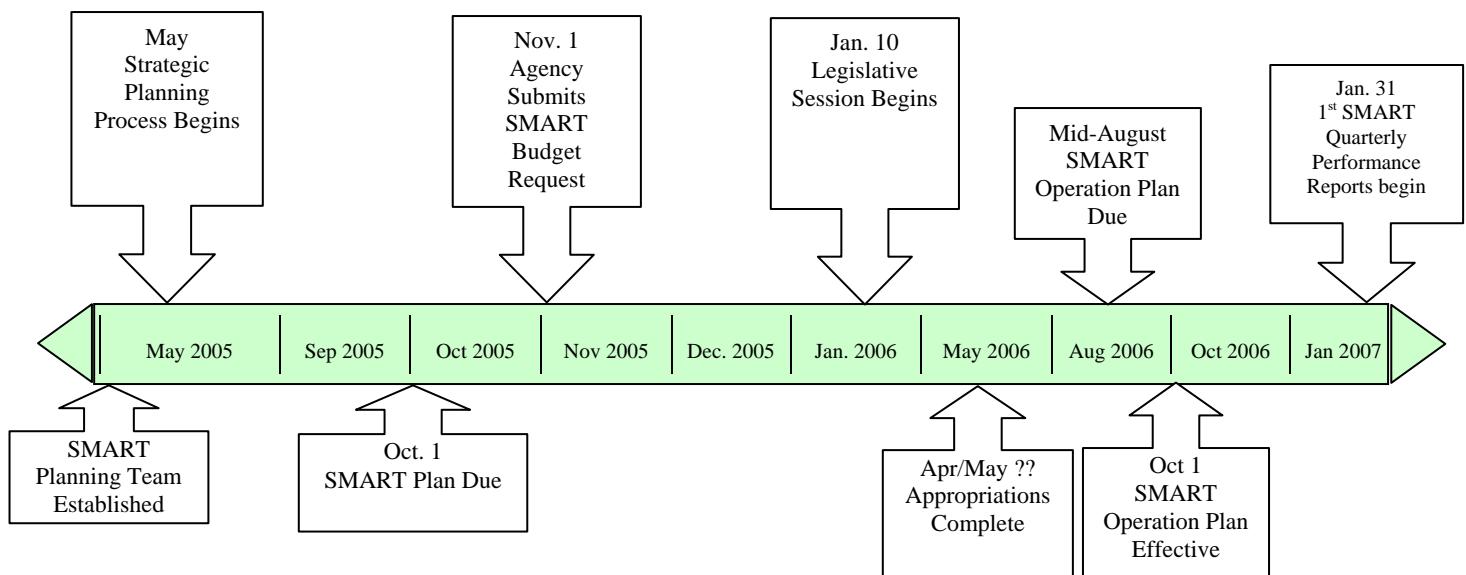
## Timeline for FY 2006

- October/November 2004 - FY06 SMART Budget Request submitted with agency budget request.
- May 2005 - Legislative appropriation decisions projected to be complete.
- Mid-August 2005 - FY06 SMART Operating Plan due (The FY06 SMART Operation Plan is a recalibration the FY06 SMART Budget Request, specifying the objectives it expects to achieve within the constraints of the resources appropriated.)
- October 2005 - FY06 SMART Operating Plan effective
- January 2006, April 2006, July 2006, October 2006 - FY06 SMART Quarterly Performance reports will be submitted throughout the fiscal year for assessment by the agency and by the Executive and Legislative budget offices.



## Timeline for FY 2007

- April 2005 – Agency’s SMART Planning Team established.
- May 2005 - SMART Planning Team training
- October 2005 - FY07 SMART Plan - due
- November 2005 - FY07 SMART Budget Request
- January 2006 - FY07 Executive Budget presented to the Legislature.
- May 2006 - Legislative appropriation decisions projected to be complete
- Mid-August 2006 -FY07 SMART Operating Plan – due
- October 1, 2006 - FY07 SMART Operating Plan effective
- January 2007, April 2007, July 2007, October 2007- FY07 SMART Quarterly Performance reports will be submitted quarterly throughout the fiscal year for assessment by the agency and by the Executive and Legislative budget offices.



There will be a substantial overlap of the two processes between April and October, when agency personnel will be finalizing plans for the coming year and developing new plans and budgets for the subsequent year.

**NOTE:** The “SMART” thing for an agency to do is to push the planning time frame as much as possible into the late spring and early summer, so that it conflicts as little as possible with the end-of-year rush that occurs in late August and September. During the first year of the implementation of SMART planning which focuses heavily on training, planning will, from necessity, occur during the summer months. However, in subsequent years, agency planning will need to begin earlier in order to accommodate time frames necessary to plan for information technology needs.

# SMART Planning

SMART Planning begins with basic organizational decisions aimed at ensuring that the process runs smoothly and its intended results are achieved. These include deciding who will manage the process for the agency director, and who will participate on the planning team.

## Identifying Participants

The first step in the agency's SMART Planning Process is to identify and notify those involved in developing the agency's SMART Plan. The people who should be included are listed below.

### 1. The Agency Director

The chief executive officer/Director/Commissioner, etc. should provide overall direction and active support for the SMART Planning Process.

The Director's responsibilities include:

- (1) appointing the Agency Planning Coordinator and the SMART Planning Team,
- (2) enabling the Agency Planning Coordinator to carry out his duties efficiently,
- (3) chairing the SMART Planning Team to ensure the development of a sound plan.

### 2. The Agency Planning Coordinator (APC)

The Director must either assume the role of the APC or appoint a person within the agency to manage the SMART Planning Process.

The Agency Planning Coordinator's (APC) responsibilities include:

- (1) organizing the process,
- (2) scheduling meetings,
- (3) gathering and disseminating information, and
- (4) moving the agency through the planning process. The APC can arrange for a SMART facilitator to assist in this task. These

facilitators are professionals working in other similar functioning agencies who have been trained to assist in the SMART Planning Process.

3. The SMART Planning Team (SPT)

The Director should appoint a SMART Planning Team (SPT) to develop the agency SMART Plan or utilize existing management team(s) that routinely meet and handle operational issues. The SPT should include senior executives who have broad knowledge of all the service and functional areas of the agency. It is particularly important that the SPT include both planning and financial managers.

The SMART Planning Team's (SPT) responsibilities include:

- (1) verifying and refining the agency's mission, vision, and values,
- (2) setting goals that provide direction for the agency,
- (3) identifying critical issues, both internal and external, that inhibit or enable agency performance,
- (4) documenting the key workload and cost factors affecting the agency's budget,
- (5) developing strategies to accomplish the agency's goals,
- (6) specifying the objectives and performance indicators that will track progress as strategies and action plans are implemented, and
- (7) infrastructure planning which means addressing the primary resources that will enable the agency to accomplish its mission, such as requirements for capital, office space, information technology, and human resources.

**NOTE:** A number of agencies already have executive management teams that routinely meet and handle operational issues. This group may serve as the nucleus of the SPT.

The purpose of an agency's SMART Plan is to develop strategies that will lead to fulfilling the mission and goals of an agency. A SMART Plan addresses the following four questions.

1. ***Where do we want to go?*** To answer this first question, the agency identifies:
  - a. the legal mission(s) of its programs and activities,
  - b. its vision for carrying out the mission(s) assigned,
  - c. the values that govern its actions, and
  - d. the goals that describe what it ultimately expects to accomplish.
2. ***Where are we now?*** To answer this question, the agency considers and articulates:
  - a. the workload and cost factors that it faces now and in the near future,
  - b. its strengths, weaknesses, opportunities and threats, and
  - c. the critical issues that it must address in order to succeed.
3. ***How do we get from here to there?*** At this point, the agency compares its answers to the first two questions and develops:
  - a. the strategies that will best enable it to succeed, and
  - b. the action plans that spell out the process and responsibility for each strategy.
4. ***How will we assess our progress along the way?*** In this final step, the agency further develops:
  - a. the performance indicators or units of measure that point to (indicate) progress and track performance.
  - b. the objectives or statements of intent that show how much progress is anticipated during the fiscal year in question.

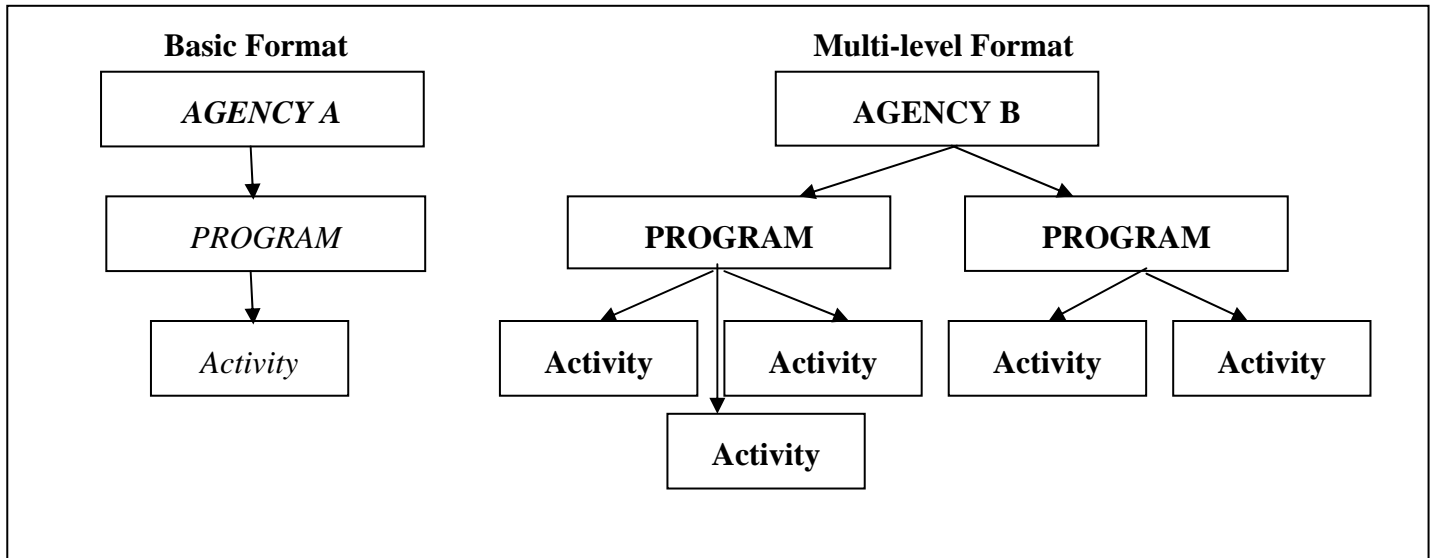
## **SMART Plan Development**

The first step in the development of the SMART Plan is an examination of the structure of the agency's budget. The SPC must work closely with the agency's Financial Director in order to design the backbone of the plan that is closely related to the agency's budget delineations. The complexity of an agency's SMART plan will depend on the complexity of the agency's budget configuration. Some agencies will address all the questions of the SMART Plan only at the agency level while other agencies will address the identified questions at the agency, program, and activity level.

A "single-threaded" agency typically has, in budgetary terms, a defined agency, a defined program, and no activity codes below the program level. An agency that fits this description will answer SMART Questions 1 – 4 at the agency level. However, many agencies have an agency code, at least one but often multiple program codes, and multiple activity codes beneath the program level. Agencies that meet this description should address SMART Question 1 at the agency level and address SMART Questions 1-4 at either the program or activity levels. The figure below depicts the design development of the SMART Plan. An understanding of the structure of the agency's budget, therefore, is critical to ensuring a SMART Plan that will translate into a SMART Budget Request.

A SMART Plan is not evaluated by its length, nor its complexity, but rather by the extent to which it ties together each component of the plan. A good SMART Plan will be succinct, not lengthy; and the plan will briefly but clearly map the agency's direction.

## SMART Plan Development EXAMPLE



<b>Agency A's SMART Plan (Basic Format)</b> covers <b>the entire agency</b> and <b>addresses</b> all four questions.	<b>Agency B's two-part SMART Plan (Multi-level format)</b> consists of an agency-wide component and a component for each program or activity.	
	The <b>agency-wide</b> piece addresses <b>one question</b> for the whole agency.	Each <b>program or activity</b> component addresses <b>all four questions</b> for that program or activity.
1. Where do we want to go? 2. Where are we now? 3. How do we get from here to there? 4. How will we assess our progress along the way?	1. Where do we want to go?	1. Where do we want to go? 2. Where are we now? 3. How do we get from here to there? 4. How will we assess our progress along the way?



## The Four Basic Questions of SMART Planning

### QUESTION 1: WHERE DO WE WANT TO GO?

The first task is to specifically determine where the agency wants to go. A succinct statement for each of the following components must be developed:

#### 1.a. Define the legal mission(s) of the agency.

A mission statement provides a brief definition of the purpose of the agency – why it exists. The key sources in writing a mission statement are the constitutional, statutory, and judicial mandates to which the agency responds. The *Alabama Government Manual*, published by the Alabama Law Institute, contains mission descriptions for most agencies and also should be consulted.

The mission statement is action-oriented and therefore may begin with “To...”. Normally the legal authority will lead directly to the remainder of the phrasing of the statement. The legal authority should be entered in parentheses at the end of the mission statement.

#### *Mission Example*

##### Alabama Department of Insurance

*“To serve the people of Alabama through fair regulation of the insurance industry, consumer protection, and market stabilization (Ala. Code Sec. 27-2-1).”*

#### **A LITMUS TEST FOR THE MISSION STATEMENT**

- Does the statement encompass the agency’s legal responsibilities and mandates?
- Is the statement brief enough to create an understandable guide to the agency’s work?
- Is the statement broad enough that all staff in the organization can see how they contribute?
- Will it make sense to average citizen?

### **1.b. Define the agency's vision for carrying out its assigned mission(s).**

A vision statement is a brief, compelling description of a desired future. Before we start a journey we need agreement about the destination. A vision answers questions such as: What results do we desire? and What do we want to become? A vision must be shared to be powerful; a great vision statement will unite, inspire, and focus a team's efforts. It is a critical ingredient for change within the agency, setting a standard toward which all progress is aimed. Its structure is less important than its impact on the values and behaviors of every member of the organization.

The agency's vision must be linked strongly to its mission. The mission provides direction, and the vision adds inspiration.

To be useful, a vision statement must be concise and memorable, no more than one sentence. Organizations often tend to put too much into a vision statement, including values and goals. If people have to pull out a binder and read a vision statement, it is not effective.

#### ***Vision Example***

##### ***Department of Mental Health and Mental Retardation***

*"People with mental illness, mental retardation, and/or substance abuse disorders will be treated and supported as necessary to allow them to maximize their potential in their community."*

##### ***Alabama Securities Commission***

*"An investment community that serves the people of Alabama without fraud or abuse and preserves Alabama's capital markets."*

#### **A LITMUS TEST FOR THE VISION STATEMENT**

- Is the vision statement brief enough to be memorable (no more than one sentence)?
- Does the vision statement provide an inspiring and challenging picture of the agency's ideal future?
- Is the vision statement clearly related to the agency's mission?

### 1.c. Define the values by which the agency operates.

Values are core beliefs or principles that guide behavior and decisions within the agency. They should be embraced by everyone in the agency.

The agency's values should be tightly linked to its vision and mission. Values should steer leaders toward putting in place the ingredients needed to make the agency's vision a reality, and they should create parameters that keep pursuit of the mission from creating a culture where "the ends justify the means."

The organization's values articulate how customers or clients will be treated and the quality expected in producing the agency's services. They also define how the staff works together and what is most important in the roles of various staff members. Values address people, processes, practices, character, and commitment.

#### *Values Example*

##### Alabama Department of Rehabilitation Services

*"We Value the worth, dignity and rights of people with disabilities.*

*We Value independence and meaningful work for people with disabilities.*

*We Value staff and their contributions in achieving our mission.*

*We Value leadership at all levels.*

*We Value maximum acquisition and efficient and effective management of resources.*

*We Value public support."*

#### **A LITMUS TEST FOR THE VALUES STATEMENT**

- Do the values create a foundation that ties together the mission and vision?
- Are values included that describe the behavioral expectations of all employees in the organization?
- Are values included that describe the way clients and other stakeholders should be treated?

**NOTE:** The values statement may simply list the words that capture the agency's values, without necessarily putting them in complete sentence form.

**1.d. Define the goals that describe what the agency ultimately expects to accomplish.**

Goals are statements of long-term direction—what the agency wants to accomplish, in specific terms, in order to achieve its mission. The specific terms are the optimum or end result of a goal. This should be measured as a benchmark, if possible. The benchmark could be a national standard or a professionally recognized standard. As the plan is developed, there should continue to be a clear relationship between the goal, its associated benchmark and the objectives and performance indicators.

Goals are typically enduring, can be acted upon, and may require years to accomplish. They should be **limited** in number, expressing the highest **priority** for the agency, and **ranked** by order of importance and preceded by the letter “G” (e.g. G1, G2, G3). This notation should then be used as a reference in the critical issues and strategies sections where correlations exist. Taken together, the goals should provide a picture of what the successful implementation of the agency’s mission will look like.

***Goals Example***

Note: In this example, the **goal** is surrounded with [ ]. The benchmark is denoted with {}.

***Department of Human Resources, Adult Protective Services***

***G1 [To initiate timely investigation of reports of alleged abuse, neglect, and exploitation]{within 7 days}***

***G2 [To conclude investigations of alleged abuse, neglect, and exploitation in a timely manner] {within 60 days}***

***G3 [To arrange and provide services to ensure protection of vulnerable adults to avoid institutionalization and reduce Medicaid costs]***

***G4 [To achieve the average caseload standard] of {25 open protective service cases per worker as established by the National Adult Protective Services Association.}***

### **A LITMUS TEST FOR THE GOALS STATEMENT**

- Does each goal support the agency mission?
- Does each goal deal with just one issue?
- Does each goal represent a desired long-term result with a designated benchmark, if possible?
- Is there at least one key goal for each program or activity, but not more than can be reasonably managed?
- When taken together, do the goals provide a complete and measurable picture of what successful implementation of the agency's mission will look like?

## QUESTION 2: WHERE ARE WE NOW?

When the agency has determined “where we want to go,” it is prepared to address more detailed issues. The remaining questions focus on development of planning details for the agency and its programs and activities. The first of these detailed issues is, “Where are we now?” To answer this question, the SMART Planning process identifies key workload and cost factors; the organization’s strengths, weaknesses, opportunities, and threats; and the critical issues that can “make or break” the organization.

### **2.a. Identify the key workload and cost factors that face the agency’s operations.**

The second question in SMART Planning addresses the operating environment of the agency. The first analysis is a projection of the trends in key workload and cost factors that significantly affect the management of the agency’s operations.

The term “workload” refers to measures of operating activity. Workload is measured to define accurately the need for operating resources such as staff and money. When the workload measure rises, the need for resources should rise in the same way; when the workload measure falls, the need for resources should fall in the same way.

For many kinds of agency operations, workload can be defined by counting the number of clients served or the number of events that occur. Clients may be people, but they also may be institutions such as hospitals or schools; events may include decisions or processes. Every effort should be made to minimize the number of workload measures used in SMART Plans to one or two.

Cost factors for purchases that have a major financial impact on services may also be included. For example, medical cost trends are obviously critical to Medicaid planning.

For each workload and cost factor selected, sufficient historical data should be developed and considered as a basis for the projections. A multi-year look at the significant workload and cost factors facing agency operations will provide a foundation for later analyses of both objectives and strategies.

### ***Workload and Cost Factors Example***

<b><i>AGENCY &amp; ACTIVITY</i></b>	<b><i>WORKLOAD &amp; COST FACTORS</i></b>
<u><i>Building Commission</i></u>	
<i>Regulation of State Construction</i>	<i># of school projects &amp; inspections</i>
	<i># of State/RSE projects &amp; inspections</i>
<u><i>Department of Corrections</i></u>	
<i>Inmate Admin., Security, Custody &amp; Control</i>	<i># of inmates</i>
<u><i>Court of Civil Appeals</i></u>	
<i>Appellate Court Operations</i>	<i># of filings</i>
	<i># of dispositions</i>
<u><i>Crime Victims Compensation Commission</i></u>	<i># of eligible victims</i>
<u><i>Department of Finance</i></u>	
<i>Comptroller</i>	<i># of transactions processed</i>
<u><i>Personnel Department</i></u>	<i># of state employees</i>
	<i># of applicants for state positions</i>
<u><i>Department of Rehabilitation Services</i></u>	
<i>Children's Rehabilitation Services</i>	<i># of clients served</i>
	<i>% increase in the avg. cost of purchased services for uninsured children served</i>
<u><i>Department of Senior Services</i></u>	
<i>Economic Assistance Program</i>	<i># of Medicaid eligibles</i>
	<i>Increase in the cost of waiver service</i>

#### **A LITMUS TEST FOR WORKLOAD AND COST FACTOR ANALYSIS**

- Is there at least one (but not more than two) workload measure which accurately relates to the need for resources in the agency?
- Is there supporting historical data for each measure selected?
- Are cost factor measures included for major purchases?

## **2.b. Analyze the agency's strengths, weaknesses, opportunities, and threats.**

Before an organization develops strategies to move forward, it must conduct an honest appraisal of its advantages and disadvantages, both internally and externally. This is popularly known as a “SWOT” analysis because it results in lists of strengths, weaknesses, opportunities, and threats.

The internal assessment is an evaluation of the organization's position, performance, problems, and potential, which is often summarized by the terms “strengths and weaknesses.” The factors to be considered in developing these lists include the following:

- Who are the customers and stakeholders of the organization? Customers are those who are served by the organization, internally as well as externally. Stakeholders include those who have a vested interest in or significant influence over the organization and its environment, without necessarily using or benefiting from the services directly.
- What do the organization's customers and stakeholders think of the organization? The best way to answer this question is to solicit their opinions through such means as surveys, advisory committees, or public meetings.
- How well does the organization actually serve its customers and meet the needs of stakeholders?
- How are the needs and expectations of customers and stakeholders changing?
- What are the key internal constraints to satisfying customers and stakeholders?

The external assessment is an evaluation of the environment surrounding the organization that creates important opportunities or potential threats to its operations. The factors to be considered in developing these lists include the following:

- What are the most critical elements of the external environment that affect the operations of the organization today? These may include financial, demographic, economic, political, technological, and other types of factors.



- Are there elements in the external environment that, while not critical today, are likely to become critical determinants of the organization's operations in the near future (up to five years out)?
- Are there factors in the external environment that can be advantageous to the organization's operations if capitalized upon?

The SWOT analysis that results from these assessments of the internal and external environment should be developed in the form of four lists – strengths, weaknesses, opportunities, and threats. Each list should be ranked in **priority order** and contain no more than three or four elements per list.

The lists should include only the key SWOT factors, and in articulating them, the agency should be sensitive to the fact that others will view the SMART Plan outside the organization. Information should be worded carefully to avoid misinterpretation and even misuse of the agency's work.

**NOTE:** The purpose of these SWOT lists is to create a foundation for the development of critical issues, and ultimately strategies for improvement, not to set down a “laundry list” of complaints. Discussions should be focused to ensure that the process does not degenerate into a complaint session or a rationale for “why we can’t succeed.”

## **SWOT Example**

### **Department of Mental Health/Mental Retardation**

*The DMH/MR utilized its Management Steering Committee to assist in the completion of the departmental SWOT analysis. The Management Steering Committee is composed of all major stakeholder groups, both internal and external, including family members, consumers/clients, DMH/MR executive staff, advocacy organizations, and local service providers. Each member was given a worksheet and asked to identify and rank, in order of importance, strengths, weaknesses, opportunities, and threats. Strengths and weaknesses were described to the group as internal circumstances and/or events while opportunities and threats represented external circumstances and/or events.*

*Utilizing methods of quantitative analysis, the responses were first grouped according to concept similarity. The responses were then tabulated according to ranking and frequency. The analysis extracted the top four responses from each category (strength, weakness, opportunity, and threat). The results listed below reflect those responses with the highest rankings and greatest frequency.*

#### ***Strengths:***

1) **Departmental executive leadership**

*The leadership abilities and skills, particularly at the Commissioner level, are identified as the greatest strengths of the department.*

2) **Broad stakeholder involvement**

*All major stakeholders have input into the decision-making process at all levels of the department.*

3) **Community-based service delivery system**

*Services are provided to individuals primarily through a strong community-based system.*

4) **Strategic planning**

*Departmental program activities and initiatives are developed and implemented through a strategic planning process.*

#### ***Weaknesses:***

1) **Availability and accessibility to a full continuum of services**

*A full continuum of services is not available and accessible in all parts of the state.*

2) **Adequacy of information systems**

*The data systems are inadequate to easily provide information to stakeholders (i.e. client data, services/financial data, standards).*

3) **Authority of 310 Boards relative to service provision**

*There is a lack of oversight in the delegation of authority to 310 boards particularly as it relates to case management and the 310 boards' role as the MH/MR single point of contact and local source of needs assessment and planning.*

4) Qualification consistency in the appointment of Commissioners

*There are no statutory qualifications for the position of Commissioner to ensure that future Commissioners have the minimal experience, knowledge, and skills to effectively lead DMH/MR.*

**Opportunities:**

1) Interagency/organizational partnerships

*Collaborative partnerships with other state agencies should be further developed and/or expanded.*

2) Federal initiative participation

*As a result of President Bush's New Freedom Initiative, funding opportunities are available at the federal level to enhance the service delivery system in states.*

3) Community service system expansion

*The community provider base should be further expanded to include more non-profits and faith-based groups.*

4) Utilization of consumers within service delivery systems

*More consumers should be trained and used as service providers.*

**Threats:**

1) State/Federal funding stability

*The lack of stable and predictable funding at both the State and Federal levels poses the largest threat to DMH/MR.*

2) Target population stigma

*Stigma and misconceptions regarding mental illness, mental retardation, and substance abuse threaten the mental health system.*

3) Application of Federal regulations

*The inconsistent and inequitable interpretations and applications of CMS (Center for Medicaid/Medicare Services) regulations and standards to DMH/MR threaten the continuity and consistency of services.*

4) Demand for services beyond system capacity

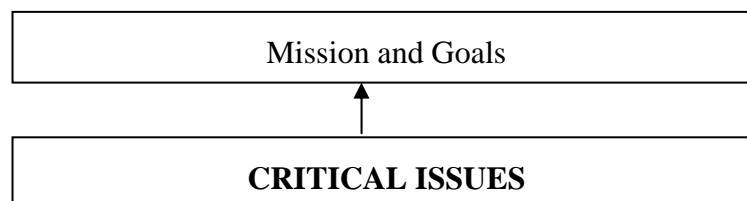
*The demand for services has increased beyond the financial capacity of the system to adequately respond.*

**2.c. Analyze the critical issues that the organization must address in order to succeed.**

When the “SWOT” analysis is completed, the next step is to utilize the results, and in some cases, translate the results into critical issues. A critical issue is either a barrier that could impede the achievement of the agency’s goals or a potential opportunity that could enable or enhance the agency’s ability to achieve its goals.

There are two types of critical issues: *internal* issues that are within agency control, and *external* issues that are outside agency control. An agency should look at its SWOT list to determine relationships between the agency’s strengths and weaknesses and internal critical issues. Likewise, the opportunities and threats also should either translate or illuminate the external critical issues that the agency could encounter. The agency should identify not more than three to five issues of each type.

Critical issues sit in the middle of the plan between the mission and goals and the strategies and objectives. Therefore, a major characteristic of a cohesive SMART Plan is one in which the critical issues are developed by identifying those issues that will be barriers or opportunities toward the accomplishment of the stated goals. Each critical issue that relates to a specific goal should parenthetically identify its related goal (e.g. G1, G2, G3).



Critical issues should be items that can be acted upon. Issues that reflect conditions no one can resolve (e.g., interest group pressure on the Legislature) are not critical for the planning process.

In the governmental setting, the identification of critical external issues alerts the Governor and the Legislature to key operating problems or opportunities which agencies do not control. Governmental agencies often have limited ability to change service delivery methods, to modify mission requirements, or to redeploy resources on their own. Additionally, they do not control many of the necessary technical and

administrative resources. The external issues chosen for inclusion in this section of the plan should be seen as the initiation or continuation of a conversation with the Governor and Legislature about key success factors under policy makers' control. The agency should identify the greatest opportunities and problems that policy makers can address to enable the agency to meet its long-term goals and succeed in its mission. The internal issues chosen for inclusion in this section of the plan serve the same function for agency and program managers.

### ***Critical Issues Example***

#### ***Alabama Department of Archives and History***

- (1) For the public to have access to the collections through an on-line catalog system, considerable processing must be completed. Only a small percentage of our holdings, which have been acquired since 1901, are fully accessible through our catalog system. (G1)*
- (2) To maintain the quality of our collections and plan for the new Museum of Alabama History, we must continue to acquire new materials that document 20<sup>th</sup> Century Alabama history. (G1)*
- (3) Our museum and reference library should be accessible to the public 192 hours per month. (G3)*
- (4) Records Disposition Authorities (RDAs) are created to ensure all state and local agencies properly maintain their records. Only 115 of the 225 state agencies currently have approved RDAs. (G4)*
- (5) All local agencies are covered by approved RDAs; however, considerable increased follow-up and support is needed to ensure agencies are implementing the RDAs appropriately. (G4)*

### **A LITMUS TEST FOR CRITICAL ISSUES**

- Does each critical issue identify a problem that can and must be resolved to succeed, or an opportunity that can and must be seized to ensure success?
- Does each critical issue, where applicable, relate to a goal?
- Has the agency considered opportunities as well as problems in its critical-issue analysis?
- Has the agency considered all external issues related to personnel, purchasing, and other intra-governmental processes that may prevent it from achieving its mission or offer opportunities to improve success?

With the completion of the critical issue statements, the agency has reached a second key point in the SMART Planning process. Having completed mission, vision, values, and goals statements that describe “where we want to go,” and developed the workload and cost factors, “SWOT” analysis, and critical issues that describe “where we are now,” the agency should proceed to Question 3 and begin to strategize about moving from where the organization is now to where it wants to be. This is the whole purpose of a SMART Plan.

## QUESTION 3: HOW DO WE GET FROM HERE TO THERE?

At this point in the analysis, the agency has developed the components it needs to decide on directions for the future. The old saying goes, “If you don’t know where you are going, any road will do.” However, the agency does know where it is going; furthermore, it knows where it is now, and the factors which will drive the needed change for the necessary improvements. Its next task, in answering Question 3, is to put together the detailed roadmap that will lead to success.

### **3.a. & 3.b. Identify the strategies that will best enable the organization to succeed, and develop an action plan for each strategy.**

A strategy is a defined statement of purpose that, together with action plans, will move the agency toward the achievement of its goals and ultimately its mission. Strategies should focus on how to accomplish the specific terms of an identified goal within the time frame of the plan. In other words, the strategy will describe how much movement can be made toward achieving the long-term goal.

The agency should begin its strategy deliberations by reviewing the list of critical issues. Attention should focus primarily on overcoming critical issues and taking advantage of opportunities. As stated earlier, critical issues are the gateway between goals and strategies. The agency should consider the feasibility of addressing each critical issue in a strategy, because the purpose of SMART Planning is to overcome every obstacle and take advantage of every opportunity to move the agency toward its mission. A well-designed strategy will include addressing those internal critical issues related to the successful implementation of the goal.

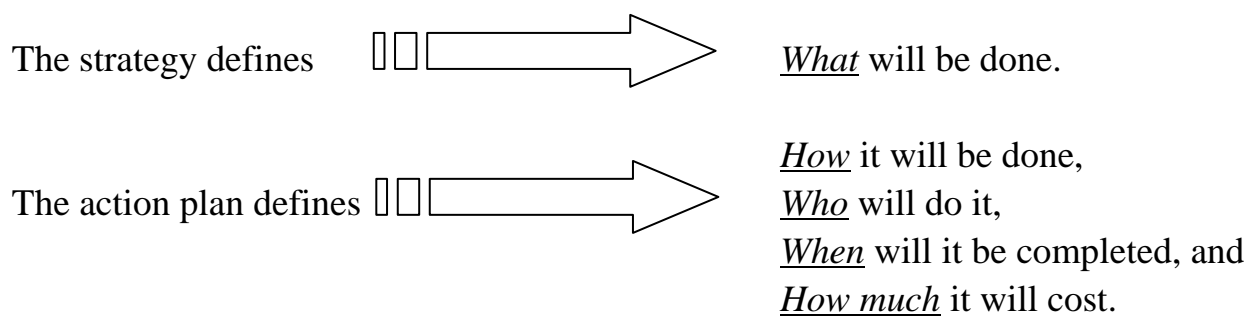
Strategies should be **numbered**. Each strategy should begin with a single sentence that describes the agency’s approach to achieving better performance in the program or activity. No more strategies should be developed than the agency can manage successfully – normally not more than five.

For some external issues, the strategy may simply be to convince the Governor and/or Legislature of the necessity for addressing a critical problem or

opportunity.

For issues that involve multi-step solutions, the strategy should be more than a “wish and a prayer” -- it should represent a specific statement of priority actions. Every strategy, therefore, should be accompanied by an action plan that lists the steps that will be taken, who will be responsible for each step, when it will be completed, and the resources required.

There are two components to strategic direction:



Action plan statements break down the strategy into its components. In the plan, they should be presented as **lettered** statements following the appropriate strategy statement. The person responsible for each action plan component should be identified along with the expected date of completion. If available, each action plan statement should include a dollar figure representing the cost. If costs cannot be broken down to this level, then a cost figure may be attached to the whole strategy.



### ***Strategy & Action Plan Example***

#### ***Department of Education, Alabama Reading Initiative (ARI)***

**STRATEGY:** *Expand the ARI from 511 to 898 schools. (G2)*

**FUNDING REQUIRED:** \$40 Million

<b><i>Action Steps</i></b>	<b><i>Person Responsible</i></b>	<b><i>Completion Date</i></b>
<i>A. Provide common training &amp; planning times for all SDE staff who work with reading to ensure a department-wide approach to reading that is based on research.</i>	<i>Stephens</i>	<i>1/31/2006</i>
<i>B. Fund, design, &amp; implement the Summer Reading Academy, the mechanism for providing 5 days of initial training to the new ARI schools.</i>	<i>Smith</i>	<i>7/31/2006</i>
<i>C. Fund, design, &amp; oversee the 5 days of building-based, ongoing professional development for the new ARI schools.</i>	<i>Jones</i>	<i>8/31/2006</i>
<i>D. Fund a reading coach for each of the ARI schools with grades K-3.</i>	<i>Moody</i>	<i>7/31/2006</i>
<i>E. Recruit, hire, &amp; train the regional staff required to support ARI schools with grades K-3 and existing ARI schools with grades 4-12.</i>	<i>Tompkins</i>	<i>7/31/2006</i>
<i>F. Replace, recruit, hire, &amp; train regional staff to support ARI schools.</i>	<i>Allison</i>	
<i>G. Provide targeted assistance to low-performing ARI schools.</i>	<i>Mitchell</i>	<i>9/30/2006</i>
<i>H. Build capacity of superintendents &amp; central office staff and hold them accountable for the performance of their schools.</i>	<i>Morton</i>	<i>Ongoing</i>

#### **A LITMUS TEST FOR STRATEGIES AND ACTION PLANS**

- Has the agency considered each “actionable” goal and critical issue in its analysis, and created strategies to achieve goals and resolve issues?
- Is each strategy headed by a short descriptive sentence that describes what the agency intends to accomplish?
- Does each strategy relate back to an identified goal (e.g. G1, G2, G3, etc.)?
- Is each strategy accompanied by an action plan that specifies who is responsible, what is the expected completion date, and how much it will cost to implement?
- Is the action plan broken down into the essential steps that will be required to implement it?
- Does the action plan contain sufficient detail to track milestones for completion?

## **QUESTION 4: HOW WILL WE ASSESS OUR PROGRESS ALONG THE WAY?**

The agency should arrive at its final task with specific goals that identify benchmarks for mission accomplishment, projections of key workload and cost factors, and strategies with concrete action plans aimed at critical issues and goals. The remaining questions are, How will improvement be measured, and how much of it should we expect to occur in the period covered by the plan? This involves choosing the measures that will be tracked to gauge success, and setting performance targets for those measures.

### **4.a. Specify the performance indicators that will be used that point (indicate) the degree of progress toward the stated objective.**

The strategies should result in improvements that can be measured. These improvements should move the organization down the road toward the elimination or utilization of critical issues and the fulfillment of goals and ultimately the mission of the agency. A key part of the SMART Planning process is to establish the measures that will be used to evaluate progress during the period covered by the plan, which we call “performance indicators.” Each SMART Plan should contain four types of indicators, measuring performance in terms of:

- Spending
- Staffing
- Efficiency
- Quality

It takes resources to operate any kind of governmental activity, and the amounts of resources required are significant performance indicators. The key resources that will be required to carry out a SMART Plan can be measured in terms of spending and staffing – that is, total dollars and the full-time-equivalent number of employees. The requirements for spending and staffing to achieve planned results have been spelled out in the strategies and action plans. By analyzing these parts of the plan, the agency will be able to estimate the need for

dollars and people. The development of these performance indicators will require close collaboration with the agency's financial officer. The SMART Plan therefore should include spending and staffing projections for the period covered by the plan.

***Spending and Staffing Example***

1. *The total amount of money required in the coming year for the activity.*
2. *The number of FTE staff to be employed in the coming year for the activity.*

The SMART Planning Team also must consider the efficiency of its strategies in using resources. Two types of efficiency performance indicators should be considered.

1. Unit cost –the average amount of money required to complete one unit of workload. This can be measured directly as spending divided by workload.

***Unit Cost Efficiency Example***

*Court of Civil Appeals*

*Total spending divided by the number of cases disposed equals the unit cost per case disposed.*

2. Productivity –the average amount of workload completed by the staff employed. This can be measured either in terms of workload divided by staff, or in terms of a “throughput” ratio based on workload inputs versus outputs.

***Productivity Efficiency Example***

*Court of Civil Appeals*

1. *The number of cases disposed divided by the number of staff equals the number of dispositions per staff member.*
2. *The number of cases disposed divided by the number of cases filed equals the throughput percentage for the Court.*

Finally, the agency must consider the quality of services provided. An indicator of quality is a measure of success in producing outcomes that are consistent with each component of the plan including the mission of the agency. A common way to measure quality is to count the number or percent of successful outcomes or measure the timeliness that an outcome was rendered.

### ***Quality Example***

#### ***Court of Civil Appeals***

*The Court has benchmarks in its goal statements that call for 75% of decisions to be rendered within 290 days and 95% of decisions to be rendered within 365 days. Its quality performance indicator is the percentage of decisions in the coming year rendered within these two benchmarks.*

In summary, each SMART Plan must include at least one performance indicator from each of the four types of measures just described – spending, staffing, efficiency, and quality.

- ◆ The *spending* and *staffing* numbers will represent simply the total amount of dollars and full-time-equivalent employees that will be required to implement the strategies chosen by the Planning Team in the period covered by the plan.
- ◆ The *efficiency* indicator(s) will focus on the relationship of resources to workload, such as the unit cost and staff productivity.
- ◆ The *quality* indicator(s) will focus on successful outcomes, in terms of the agency's mission and goals.

#### **4.b. Specify the objectives or statements of intent, i.e., how much progress is anticipated during the fiscal year in question.**

When the performance indicators are determined, the agency must then decide how much progress is anticipated during the fiscal year by creating numerical targets for performance or “objectives.”

The objectives should be based on a realistic analysis of the results expected from implementing the strategies in the plan. They should stretch those involved, requiring innovation and creativity, but not be impossible to reach. Objectives set

too low or too high are not motivational and are not useful in an effective planning process. “How far down the road can we get?” should be the key focus for the determination of objectives.

### ***Objectives Example***

#### ***Court of Civil Appeals***

- *The Court’s spending objective was to increase spending by \$263,000 to \$3.5 million.*
- *Its staffing objective was to increase staff by 1 employee to 33 FTE employees.*
- *It had two efficiency objectives.*
  - *One was reducing the unit cost of \$2,597 per case disposed to \$2,579, based on dividing its spending target by its workload estimate of 1,375 cases filed.*
  - *The other was a throughput ratio increase from 102% to 105%, based on dividing 1,375 cases disposed by the 1,300 case filings in its workload estimates.*
- *The Court’s quality objective was to dispose of 80% of cases within 290 days and 90% of cases within 365 days.*

### **A LITMUS TEST FOR PERFORMANCE INDICATORS & OBJECTIVES**

- **SPENDING:** Does the spending objective quantify the total amount of spending planned for the agency, program, or activity?
- **STAFFING:** Does the staffing objective quantify the level of staffing planned for the agency, program, or activity, in terms of full-time-equivalent employees (FTE)?
- **EFFICIENCY:** Does the efficiency objective quantify the expected relationship between services produced and resources used? Is there a basic measure of:
  - Unit cost (e.g., cost per patient-day, cost per case disposed, cost per client, cost per dollar of revenue)?
  - Productivity (e.g., caseload per worker, response time, service completions as a percent of requests)?
- **QUALITY:** Does the quality objective quantify the expected level of success in achieving service outcomes, in terms of such factors as:
  - Timeliness (e.g., % of applications processed within a time standard)?
  - Achievement of professional standards (e.g., % of students passing the graduation exam)?
  - Utilization of resources (e.g., institutional occupancy rate)?

## **The Completed SMART Plan**

The Four Questions of a SMART Plan should now have been addressed. The SMART Plan document should be seamless and show clear relationships between the various components. In taking a holistic look at the agency's SMART Plan, the terms that formed the SMART concept should be descriptive of the agency plan.

Is the plan   **S**pecific?  
                  **M**easurable?  
                  **A**ccountable?  
                  **R**esponsive?  
                  **T**ransparent?

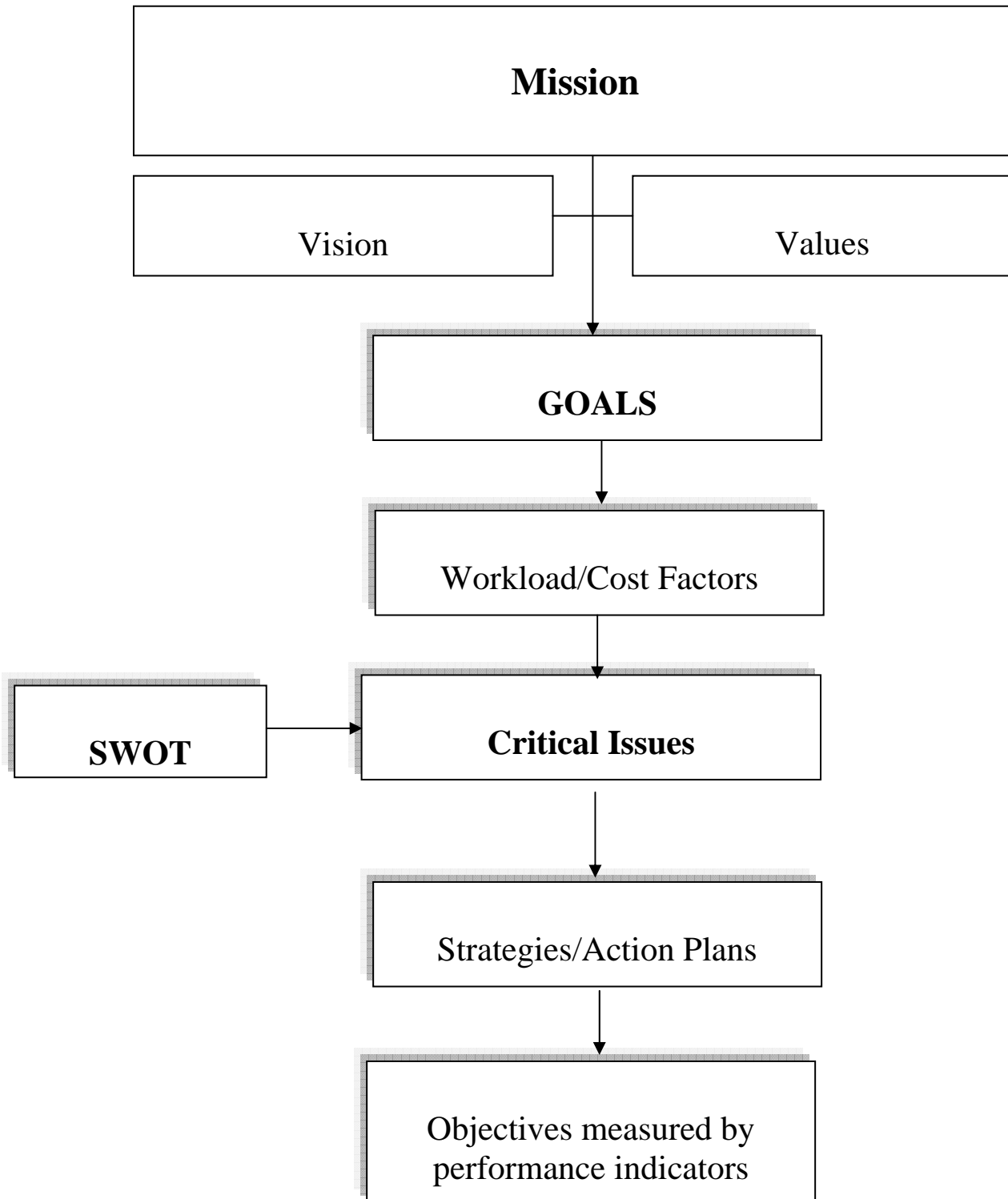
The completed SMART Plan should now serve as the blueprint for the agency to follow in pursuit of its mission. Furthermore, the SMART Plan now becomes the “backbone” for the agency's budget request, subsequent operational plan, and performance indicators. It should assist agency leaders to more effectively manage their agencies while improving agency communication and focus.

### **A LITMUS TEST FOR THE SMART PLAN**

- Does the plan provide a clear picture of where the agency wants to go?
- Does the plan clearly articulate where the agency is now?
- Does the plan describe the steps necessary to get from here to there?
- Does the plan adequately assess progress along the way?
- Is the plan inter-connected, that is, do the goals relate to the Governor's priorities? Do strategies reach goal issues by first addressing critical issues? Do performance indicators relate to strategies?

The FY07 SMART Plan looks forward only for one year. A true strategic plan projects and manages change for multiple years. With most state agencies in “planning infancy,” the intent is to assist agencies move incrementally toward a multiple year plan.

## SMART Plan Components



## GLOSSARY

<b><u>TERM</u></b>	<b><u>DEFINITION</u></b>
Action Plan .....	The detail steps necessary to carry out a strategy
Activity .....	The budgetary delineation that falls directly below the Program Level
Agency Planning Coordinator	The person within the agency designated to manage the SMART Planning Process
Benchmarks .....	National and/or professional quantitative or qualitative standards that an agency strives to attain
Cost Factors .....	Cost factors are those that have a major financial impact on services
Critical Issues.....	Factors that should be removed or added in order for an agency to succeed
Functional Categories .....	A method of classifying state agencies based on the function(s) that the agency provides
Goals .....	Statements of long-term direction
Litmus Test .....	A checklist designed to assist the agency in evaluating the quality of the SMART component
Mission.....	A brief definition of the purpose of the agency



Objectives .....	Statements of intent; how much progress is anticipated in the year being planned
Performance Indicators .....	Measures used to evaluate progress
Program.....	A budgetary delineation that falls directly below the agency delineation
SMART .....	Specific, Measurable, Accountable, Responsive, and Transparent
SMART Budget Request .....	EBO Form 4a
SMART Operations Plan.....	The document that correlates to EBO Form 8 that adjusts the SMART Budget Request based on the legislative appropriation
SMART Quarterly Performance Reports .....	EBO Form 10
SMART Planning .....	A process that defines the agency's path to achieving its mission. The results of SMART Planning become the "backbone" for subsequent budget requests, operation plans, and performance reports.
SMART Planning Team .....	The agency group charged with the development of the SMART plan to include agency planners and financial staff
Strategies.....	An approach to move the agency toward greater efficiency and/or higher quality in delivering services

SWOT .....	An honest appraisal of an agency's strengths, weaknesses, opportunities and threats
Values .....	Core beliefs or principles that guide behavior and decisions within the agency
Vision.....	A brief compelling description of a desired future
Workload .....	Measures of operating activity, i.e., # of people served, # of events, # of processes

## APPENDICES

Appendix A: Capital Asset, Information Technology, and Building Space Planning

Appendix B: Training Calendar

Appendix C: Training Materials

Appendix D: Agency Listing by Functional Categories

Appendix E: SMART Budget Teams

## Appendix A:

# Capital Asset, Information Technology, & Building Space Planning

The SMART planning process should identify any additions to or improvements in capital assets, information technology (IT), and building space that are part of the agency's strategies to achieve objectives and move toward mission accomplishment. Each agency developing a SMART Plan should address the basic questions about its proposals for capital assets, information technology, and building space that are contained in the sections below, and include the results in its completed SMART Plan.

### Capital Assets Planning

In addition to planning for the improvement of agency operations in the coming year, the SMART Plan must address long-term strategies to provide and maintain the capital assets needed to accomplish the mission of the agency. If an agency plans to spend more than \$100,000 in the aggregate (i.e., total requested to be spent on all capital assets as defined below) for projects and/or acquisitions (of items provided in the definition below) during the coming fiscal year to improve or add capital assets, a completed Capital Asset Planning Table and Questionnaire must be included in the SMART Plan.

#### **Definitions**

Capital asset is

- a resource possessed or required by the planning agency
- a resource that has an expected useful life of more than one year
- the aggregate cost exceeds \$100,000.

There are three types of capital assets for SMART Planning purposes:

1. Land (*as provided in the State of Alabama Chart of Accounts Expenditure Object 1200-01*)
2. Buildings (*as provided in the State of Alabama Chart of Accounts Expenditure Objects 1200-02, 1200-04, 1200-05, 1200-10, 1200-17, and 1200-63*)

3. Equipment (*as provided in the State of Alabama Chart of Accounts Expenditure Objects 1300-01 through 1300-99 and 1400-01 through 1400-99*)

A detailed description of these types of capital assets may be found at [WWW.Comptroller.state.al.us](http://WWW.Comptroller.state.al.us), [WWW.smartbudget.state.al.us](http://WWW.smartbudget.state.al.us) or [WWW.budget.alabama.gov](http://WWW.budget.alabama.gov) under the heading - Smart Planning for Capital Assets.

Excluded from this definition are the following:

1. Roads, bridges, and related infrastructure included in the state and federal highway systems and under the jurisdiction of the Alabama Department of Transportation (ALDOT)
2. Recreational and park lands with related facilities under the jurisdiction of the Alabama Department of Conservation and Natural Resources (DCNR)

However, other land, buildings, and equipment of these two departments are included in the definition and are subject to the planning requirement. Thus, the office space, highway barns, vehicles, and other durable equipment of the ALDOT and DCNR are considered capital assets for SMART Planning purposes.

A *capital plan* is a set of strategies for acquiring, creating or improving capital assets.

There are four types of capital asset strategies for SMART Planning purposes:

1. Construct - build a new facility, replace an old facility, or add to the exterior dimensions of a facility
2. Improve -alter, convert, renovate, restore, or relocate an existing facility
3. Purchase - buy, either in a cash transaction or through borrowing
4. Capital Lease - lease-to-purchase

A detailed explanation of each strategy may be found at [WWW.Comptroller.state.al.us](http://WWW.Comptroller.state.al.us), [WWW.smartbudget.state.al.us](http://WWW.smartbudget.state.al.us), or [WWW.budget.alabama.gov](http://WWW.budget.alabama.gov).

*Capital projects or capital acquisitions* are the building blocks in a capital plan. Each project/acquisition consists of a strategy applied to one of the three types of assets.

## CAPITAL ASSET PLANNING TABLE AND QUESTIONNAIRE

Does your agency's SMART Plan call for spending more than \$100,000 in the aggregate on capital projects or capital acquisitions in Fiscal Year 2007? If not, you do not need to complete this table and questionnaire.

If the agency SMART Plan calls for spending more than \$100,000 in the aggregate on capital projects/ capital acquisitions in FY2007, complete the CAPITAL ASSET PLANNING TABLE on the next page. This includes projects already underway, which should be numbered according to the fiscal year in which they began. The table can be reproduced if more than one page is required.

As shown in the example table below, a capital project/capital acquisition should be identified with its own unique number and name as identifiers. The first two numbers designate the fiscal year in which the project will begin (or began); this is necessary because many capital projects continue for more than one fiscal year. The second two numbers, following the period, are priority numbers for all projects/acquisitions started in a given year. Thus, "07.01" stands for fiscal year 2007, 1<sup>st</sup> priority project. The name should be short but express the nature of the project. Note that some projects in the table below are continuations from past years.

### *Example*

**CAPITAL ASSET PLANNING TABLE**

	<b>Construct</b>	<b>Improve</b>	<b>Purchase</b>	<b>Capital Lease</b>
<b>Land</b>	07.01 Add parking lot behind state office building.			
<b>Buildings</b>		06.02 Renovate state office building.		05.04 Lease training facility in Mobile.
<b>Equipment</b>			07.02 Replace autos with more than 150,000 miles.	

An agency that identified the four projects/acquisitions listed above for its fiscal year 2007 plan would fill out a Capital Asset Planning Table and Questionnaire if the total amount planned to be spent on the four projects/acquisitions during 2007 will exceed \$100,000.

For each capital project/capital acquisition listed in the table, complete the one-page questionnaire, entitled **CAPITAL ASSET PLANNING QUESTIONNAIRE**. The questionnaire form can be reproduced by the agency in the required quantity.

## CAPITAL ASSET PLANNING TABLE

Agency Name : \_\_\_\_\_

	Construct	Improve	Purchase	Capital Lease
Land				
Buildings				
Equipment				

# CAPITAL ASSET PLANNING QUESTIONNAIRE

AGENCY NAME \_\_\_\_\_

PROJECT \_\_\_\_\_

NO.

NAME

1. Describe the project.
2. How is this project/acquisition related to the Governor's Priorities for Alabama?
3. Briefly describe how this project/acquisition is related to the agency's mission and goals for the requested FY or future FY(s)?
4. How is it related to the critical issues, objectives, and strategies of the agency?
5. What are the estimated start and completion dates or acquisition date?
6. What is the estimated cost of this project/acquisition for the requested FY and/or subsequent FYs?
7. What are the method(s) and source(s) of funding? If either borrowing or a capital lease is involved, describe the terms.  
General Fund \_\_\_\_\_  
Education Trust Fund \_\_\_\_\_  
Federal Funds \_\_\_\_\_  
Special Revenue Fund \_\_\_\_\_  
Bonded Indebtedness \_\_\_\_\_  
Other \_\_\_\_\_

8. What is the estimated impact on the agency's operating budget, in terms of added personnel and spending requirements over the next five years?

Fiscal Year	FTEs	Amount
FY 2007		
FY 2008		
FY 2009		
FY 2010		
FY 2011		
FY 2012		

9. What alternatives were considered? How did you evaluate the costs and benefits of each alternative, and what were the results of the analysis?



## **Information Technology (IT) Planning**

An integral part of SMART planning for every agency is providing information technology (IT). This includes IT staffing, equipment and other resources that the agency requires to meet its strategic objectives as outlined in its SMART plan. It also includes any IT projects that impact key agency processes, agency infrastructure, enterprise infrastructure and any other projects that may impact external interfaces that are critical to the agency. For FY 2007, every state agency except those notified to participate in the Executive Order 20 Pilot\* must complete the IT Planning Questionnaire below for inclusion in its SMART Plan.

\*Executive Order 20 (XO20), which was signed by Governor Riley in May 2004, calls for a comprehensive, statewide IT planning and budgeting methodology that eventually will include all state agencies and departments. To facilitate this program, the Office of Information Technology (OIT) will select up to twelve pilot agencies to participate in a training program during calendar 2005 designed to prepare comprehensive IT plans and budgets beginning with FY 2007. The results of these plans will be used to establish future IT planning and budgeting methodologies, allow the State and OIT to more effectively support agency IT programs, and aid in the development of a statewide IT strategic direction. Although the XO20 program will initially be developed in parallel with SMART Planning and cover only the largest agencies, it will be fully integrated into SMART planning for all agencies in subsequent years.

# INFORMATION TECHNOLOGY PLANNING QUESTIONNAIRE

Every agency not participating in the XO20 Pilot should complete Questions 1 – 4. If the answer to any one of those questions meets the threshold specified, the agency must also complete questions 5 –9.

## FOR ALL AGENCIES NOT PARTICIPATING IN THE XO20 PILOT:

1. How much did your agency spend in FY 2004 for salaries and fringe benefits of personnel who exclusively provide support to agency automation activities and who possess an IT classification as defined by the State Merit System?

\$ \_\_\_\_\_

If the figure is \$500,000 or more, put an “X” here:

☐

2. Does the agency have a full-time IT director (by whatever title) or one or more IT classified staff that are assigned to support agency automation activities?

Yes \_\_\_\_ No \_\_\_\_

If the answer is “yes,” put an “X” here:

☐

3. How much did the agency spend in FY 2004 for contractual (outsourced) IT services that directly support the agency’s automation needs? These services may include contract personnel, systems development projects, or application services (i.e., contracted proprietary agency services supplied by a vendor).

\$ \_\_\_\_\_

If the answer is \$500,000 or more, put an “X” here:

☐

4. How much did the agency spend in FY 2004 for IT equipment (PC’s, printers, mainframe or midrange systems, servers, etc.), for rentals and leases of IT components, or for data and/or voice communications? For purposes of this criterion, consider only voice communications that are integrated with the agency’s data communications (i.e., VOIP).

IT equipment \$ \_\_\_\_\_ If \$500,000 or more, put an “X” here:

☐

IT rental/lease \$ \_\_\_\_\_ If \$500,000 or more, put an “X” here:

☐

Data / VOIP \$ \_\_\_\_\_ If \$500,000 or more, put an “X” here:

☐

If you should have placed an “X” as directed in any one of the six boxes above, please proceed to answer Questions 5 – 9.

5. Briefly describe your IT investments in the following categories:
- a. How many IT personnel do you employ, what IT functions do they perform, and where are they located in the organization structure?

*Show listing of IT positions (use merit system titles) and show their reporting line, i.e. where in the organization do they report, e.g. IT, Financial, Administrative, etc.*

- b. If you outsource some or all IT functions, describe what they are (in terms of staff augmentation, general consulting services, project development, and/or application service providers).

*Includes ISD services as well as other projects*

- c. If you have identifiable IT projects, list them and provide a brief description of each.

*Title, goals and objectives, when begun, schedule for completion, scope (Budget, # of people)*

- d. Describe your IT equipment infrastructure, including equipment owned, leased, and rented, as well as data / VOIP capabilities.

*All equipment and software from desktops to mainframe  
Data networks  
Age and condition of equipment and related software  
Agency replacement strategy*

6. What are your agency's IT goals (Statement of Long-term Direction)?

*Up to 5 goals*

7. Describe briefly the top two Internal and two External Critical Issues that you face in IT (Barriers or enablers to success)?

8. What are your two most important IT strategies (Defined statement of purpose supported by action plans)?

9. What indicators do you use to measure progress toward your IT goals, and what objectives do you have for the current fiscal year (Measurable statement of intent for current fiscal year)?

## Agency Information Technology Plan Summary Page

	FY05		FY06		FY07		FY08		FY09		FY10	
	FTE	Costs	FTE	Costs	FTE	Costs	FTE	Costs	FTE	Costs	FTE	Costs
Personnel												
Professional Services												
Staff Augmentation <sup>1</sup>												
General Consulting <sup>2</sup>												
Project Development <sup>3</sup>												
Application Service Providers <sup>4</sup>												
Project Costs <sup>5</sup>												
Equipment												
Rentals and Leases												
Utilities and Communications												

<sup>1</sup> Fixed Term Individual Contracts or Purchase Orders

<sup>2</sup> Specified Projects with Fixed Terms

<sup>3</sup> Specified Projects with End Products

<sup>4</sup> Specified Services with Negotiated Terms

<sup>5</sup> Personnel, Equipment, Software, Space

Note: Each element can have multiple sheets with detail lines. This is the summary of each element.

## **Building Space Planning**

Improvement of agency operations through SMART Planning also may involve developing strategies to cost-effectively provide building space needed to accomplish the mission of the agency. Such strategies may involve increasing or decreasing building space, improvements to leased space, or relocation. The time remaining in leases of privately owned building space may dictate immediate implementation of a plan of action or may afford the luxury of long-term planning.

Existing building space may satisfy the present needs and budget of the agency and require no new plans of action, but the SMART Plan must consider the budgetary impact of its building space and its adequacy to support agency goals and strategies to improve overall operations. The following Building Space Planning Questionnaire is designed to accomplish this and is to be included in each agency's SMART Plan.

Although few agencies have statutory authority to own buildings, those that do and who propose constructing or buying new building space should include that as a strategy in their Building Space Planning and in their Capital Asset Planning, if appropriate.

### **Definitions**

*Building Space* means facilities required for the administration, delivery, or support of public services and the character, cost, and need of which are subject to management decisions by the agency. Some agencies own their Building Space, but Building Space is normally leased space and includes central, branch, and field offices, service delivery centers, retail stores, and storage and warehousing facilities.

Excluded from this definition are facilities for which the agency's options regarding character and need are limited and other facilities listed below:

1. Correctional Institutions
2. Mental Institutions
3. Veterans' Homes
4. Public Health Care Centers
5. Public Schools
6. Armories
7. Park and recreational facilities

8. Convention centers
9. Aircraft hangers
10. Boat storage facilities
11. Department of Transportation's temporary project offices
12. Two and Four-Year Colleges and Universities
13. Health and Forensics Laboratories
14. Historical Sites

Types of Building Space means the predominant function of the space or facility. An office building typically contains some storage space, but the predominant function of the building is "office" space. A warehouse may contain a few offices, but the predominant function of the building is "warehouse". You may insert combinations of functions such as "office/warehouse", if you feel that this is more descriptive of your space. You are not expected to calculate and report the square footage of different types of space that may be contained within a facility.

# BUILDING SPACE PLANNING QUESTIONNAIRE

AGENCY NAME \_\_\_\_\_

1. What Building Space do you now occupy or utilize and at what annual cost?  
(Place an "X" in the box(es) that apply and fill in the blanks.)

☐ We own and occupy \_\_\_\_\_ buildings consisting of \_\_\_\_\_ sf of building space.  
(Number)

Our annual cost of this building space is \$\_\_\_\_\_ (Include debt service, utilities, insurance, maintenance staff, supplies, and contracts, and other operating expenses as applicable.)

☐ Through \_\_\_\_\_ lease(s) of private property we occupy \_\_\_\_\_ sf of building space.  
(Number)  
(This includes property leased from the Retirement System of Alabama.)

Our annual cost of this building space is \$\_\_\_\_\_ (Include rental, operating expense, and other payments to the landlord, as well as the costs of insurance, security, utilities, and janitorial expenses as applicable.)

☐ Through \_\_\_\_\_ lease(s) of state, county, or city-owned property we occupy \_\_\_\_\_ sf of building space.  
(Number)

Our annual cost of this building space is \$\_\_\_\_\_ (Include rent, insurance, security, and other applicable costs.)

2. What type(s) of Building Space do you occupy or use and what is the approximate square footage of each type?

☐ office \_\_\_\_\_ sf

☐ educational \_\_\_\_\_ sf

☐ storage \_\_\_\_\_ sf

☐ rehabilitation \_\_\_\_\_ sf

☐ retail \_\_\_\_\_ sf

☐ training \_\_\_\_\_ sf

☐ warehouse \_\_\_\_\_ sf

☐ Other (describe) \_\_\_\_\_ sf

3. Does your agency rent automobile parking spaces for any of its employees or agency vehicles?
- ☐ No
- ☐ Yes, we rent \_\_\_\_\_ parking spaces at a total annual cost of \$\_\_\_\_\_.  
(Number)
4. What critical issues to your agency's mission are presented by the Building Space you presently occupy or use?
5. What strategies should be implemented regarding your Building Space needs?  
(Include explanations of intended changes in the square footage of building space, the square footage of types of building space, and annual cost of building space.)
6. Additional Information (If unique circumstances are influencing the character, cost, and/or need of your Building Space, describe them here.)



## Appendix B: Training Calendar

# MAY 2005

Sun	Mon	Tues	Wed	Thu	Fri	Sat
1	2	3 AUM Facilitator Training 1-4:30 AIDT	4	5 SMART Planning I HHS/PPP 8:00 - 4:30 AIDT	6 SMART Planning I Cultural/Ed 8:00 - 4:30 AIDT	7
8	9 SMART Planning I L&R/Ed 8:00 - 4:30 AIDT	10	11	12 SMART Planning I Nat Res/Econ 8:00 - 4:30 AIDT	13	14
15	16 SMART Planning I GG/Overflow 8:00 - 4:30 AIDT	17	18 Training Day BP, JW, AEM	19 Training Day JW, AEM	20 Training Day JW, AEM	21
22	23 Training Day JW, AEM	24 Training Day JW, AEM	25 Training Day JW, AEM	26 Training Day JW, AEM	27 Training Day JW, AEM	28
29	30	31 Training Day JW, AEM				

**HHS** – Health & Human Services

**L&R** – Licensing & Regulatory

**GG** – General Government

**BP** – Brent Peinhardt

**PPP** – Protection of Persons & Property

**Nat Res** – Natural Resource

**JW** – Jim Williams

**Ed** – Education

**Econ** – Economic Development

**AEM** – Anne Elizabeth McGowin

# JUNE 2005

Sun	Mon	Tues	Wed	Thu	Fri	Sat
			1 Training Day BP, JW, AEM	2	3	4
5	6	7 Training Day JW, AEM	8 SMART Planning II HHS/PPP 8:00 - 4:30 AIDT	9 SMART Planning II Cultural/Ed 8:00 - 4:30 AIDT	10 SMART Planning II L&R/Ed 8:00 - 4:30 AIDT	11
12	13 SMART Planning II Nat Res/Econ 8:00 - 4:30 AIDT	14	15 SMART Planning II GG/Overflow 8:00 - 4:30 AIDT	16 Training Day JW, AEM	17 Training Day JW, AEM	18
19	20 Training Day JW, AEM	21 Training Day JW, AEM Capital, Space, IT Training 9,10, 11AM Purchasing Auditorium	22 Training Day JW, AEM	23 Training Day JW, AEM	24 Training Day JW, AEM	25
26	27 Training Day BP, AEM	28 Training Day BP, AEM	29 Training Day BP, AEM Capital, Space, IT Training 1, 2, 3 PM Purchasing Auditorium	30 Training Day AEM		

**HHS** – Health & Human Services  
**L&R** – Licensing & Regulatory  
**GG** – General Government

**PPP** – Protection of Persons & Property  
**Nat Res** – Natural Resource

**Ed** – Education  
**Econ** – Economic Development

**BP** – Brent Peinhardt

**JW** – Jim Williams

**AEM** – Anne Elizabeth McGowin

Appendix C:  
Training Materials

## **SMART Planning**

### Training

### **Question 1**

*Where do we want to go?*

- ★ Mission
- ★ Vision
- ★ Values
- ★ Goals

## MISSION

<p style="text-align: center;"><b>MISSION</b></p> <p>a brief definition of the purpose of the agency</p>	<ul style="list-style-type: none"> <li>• Action-oriented and usually starts with “To...”</li> <li>• Sources -the constitutional, statutory, and judicial mandates to which the agency responds.</li> <li>• Legal authority entered in parentheses at the end of the mission statement.</li> </ul>
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## Example

<p style="text-align: center;"><b>MISSION</b></p>	<p><i>“To serve the people of Alabama through fair regulation of the insurance industry, consumer protection, and market stabilization (Ala. Code Sec. 27-2-1).”</i></p> <p><i>Alabama Department of Insurance</i></p>
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## Your Agency’s Mission

<p style="text-align: center;"><b>MISSION</b></p>	
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## A Litmus Test

Yes	No	Checklist
		Does the statement encompass those legal responsibilities?
		Is the statement brief enough to create an understandable guide to the agency’s work?
		Is the statement broad enough that all staff in the organization can see how they contribute?
		Will it make sense to average citizen?

## VISION

<p style="text-align: center;"><b>VISION</b></p> <p style="text-align: center;">a brief compelling description of a desired future</p>	<ul style="list-style-type: none"> <li>• Concise and memorable, no more than one sentence.</li> <li>• Strongly linked to the agency mission.</li> <li>• Mission provides direction and the Vision adds inspiration.</li> <li>• Shared to unite, inspire, and focus agency efforts.</li> </ul>
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## Example

<p style="text-align: center;"><b>VISION</b></p>	<p><i>“People with mental illness, mental retardation, and/or substance abuse disorders will be treated and supported as necessary to allow them to maximize their potential in their community.”</i></p> <p style="text-align: right; font-size: small;">Alabama Department of Mental Health and Mental Retardation</p>
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## Your Agency’s Vision

<p style="text-align: center;"><b>VISION</b></p>	
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## A Litmus Test

Yes	No	Checklist
		Is the Vision brief enough to be memorable (one sentence)?
		Does the Vision provide an inspiring and challenging picture of the agency’s ideal future?
		Is the Vision clearly related to the agency’s mission?

## VALUES

<b>VALUES</b> Core beliefs or principles that guide behavior and decisions within the agency	<ul style="list-style-type: none"> <li>• Articulate how customers or clients will be treated.</li> <li>• Articulate the quality expected in producing the agency's services.</li> <li>• Strongly linked to the agency mission and vision.</li> <li>• May simply list the words that capture the agency's values, without putting them in complete sentences.</li> </ul>
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### Example

<b>VALUES</b>	<p><i>"We Value the worth, dignity and rights of people with disabilities. We Value independence and meaningful work for people with disabilities. We Value staff and their contributions in achieving our mission. We Value leadership at all levels. We Value maximum acquisition and efficient and effective management of resources. We Value public support."</i></p> <p><i>Alabama Department of Rehabilitation Services</i></p>
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### Your Agency's Values

<b>VALUES</b>	
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### A Litmus Test

Yes	No	Checklist
		Do the Values create a foundation that ties together the mission and vision?
		Do the Values describe the behavioral expectation of all employees in the agency?
		Do the Values describe the way clients and other stakeholders should be treated?

## GOALS

<b>GOALS</b> Statements of long-term directions	<ul style="list-style-type: none"> <li>• Provide long-term guidance and direction for carrying out the mission.</li> <li>• Include benchmarks where possible.</li> <li>• Are limited in number.</li> <li>• Are ranked by order of importance.</li> </ul>
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## Example

<b>GOALS</b>	<p><i>G1 [To initiate timely investigation of reports of alleged abuse, neglect, and exploitation] {within 7 days}.</i></p> <p><i>G2 [To conclude investigations of alleged abuse, neglect, and exploitation in a timely manner] {within 60 days}.</i></p> <p><i>G3 [To arrange and provide services to ensure protection of vulnerable adults to avoid institutionalization and reduce Medicaid costs.]</i></p> <p><i>G4 [To achieve the average caseload standard] of {25 open protective service cases per worker as established by the National Adult Protective Services Association.}</i></p> <p style="text-align: right;"><i>Alabama Department of Human Services, Adult Protective Services</i></p>
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## Your Agency's Goals

<b>GOALS</b>	
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## A Litmus Test

Yes	No	Checklist
		Does each goal support the agency mission?
		Does each goal deal with just one issue?
		Does each goal represent a desired long-term result with a designated benchmark, if possible?
		Is there at least one key goal for each program/activity, but not more than can be reasonably managed?
		Do the goals taken together provide a complete and measurable picture of what successful implementation of the agency's mission will look like?

# SMART Planning

## Training

### Question 2

#### *Where are we now?*

- ★ Workload, cost factors
- ★ Strengths, Weaknesses, Opportunities, and Threats
- ★ Critical Issues



## WORKLOAD & COST FACTORS

<p><b>WORKLOAD &amp; COST FACTORS</b></p> <p>Measures of operating activity</p>	<ul style="list-style-type: none"> <li>• May count number of clients served, institutions, schools, etc.</li> <li>• May count the number of events that occur, decisions, processes, etc.</li> <li>• Used to measure efficiency through unit costs (dollars divided by workload) and/or productivity (workload divided by number of staff).</li> <li>• Cost factors are those that have a major financial impact on services.</li> </ul>
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### Example

<p><b>WORKLOAD &amp; COST FACTORS</b></p>	<p># of banks, # of trust companies Banking Department; Charter &amp; Regulate Banks</p> <p># of inmates Department of Corrections; Inmate Admin, Security Custody &amp; Control</p> <p># of filings, # of dispositions Court of Civil Appeals; Appellate Court Operations</p>
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### Your Agency's Workload & Cost Factors

<p><b>WORKLOAD &amp; COST FACTORS</b></p>	
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### A Litmus Test

Yes	No	Checklist
		Is there at least one (but not more than two) workload measure which accurately relates to the need for resources for the agency?
		Is there supporting historical data for each measure selected?
		Are cost factor measures included for major financial purchases?

# SWOT

## Strengths, Weaknesses, Opportunities, & Threats

<b>SWOT</b> An honest appraisal of an agency's advantages and disadvantages, internal and external	<ul style="list-style-type: none"> <li>• Internal assessment (strengths/weaknesses) evaluates agency's position, performance, problems and potential.</li> <li>• External assessment (opportunities/threats) evaluates outside factors(e.g. financial, demographic, economic, political) that affect the agency's operations.</li> <li>• Creates a foundation for the development of critical issues.</li> </ul>
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### Example

<b>SWOT</b>	Department of Mental Health/Mental Retardation SWOT Analysis
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#### Strengths:

1) *Departmental executive leadership*

The leadership abilities and skills, particularly at the Commissioner level, are identified as the greatest strengths of the department.

2) *Broad stakeholder involvement*

All major stakeholders have input into the decision-making process at all levels of the department.

3) *Community-based service delivery system*

Services are provided to individuals primarily through a strong community-based system.

4) *Strategic planning*

Departmental program activities and initiatives are developed and implemented through a strategic planning process.

#### Weaknesses:

1) *Availability and accessibility to a full continuum of services*

A full continuum of services is not available and accessible in all parts of the state.

2) *Adequacy of information systems*

The data systems are inadequate to easily provide information to stakeholders (i.e. client data, services/financial data, standards).

3) *Authority of 310 Boards relative to service provision*

There is a lack of oversight in the delegation of authority to 310 boards particularly as it relates to case management and the 310 boards' role as the MH/MR single point of contact and local source of needs assessment and planning.

4) *Qualification consistency in the appointment of Commissioners*

There are no statutory qualifications for the position of Commissioner to ensure that future Commissioners have the minimal experience, knowledge, and skills to effectively lead DMH/MR.

**Opportunities:**

1) *Interagency/organizational partnerships*

Collaborative partnerships with other state agencies should be further developed and/or expanded.

2) *Federal initiative participation*

As a result of President Bush's New Freedom Initiative, funding opportunities are available at the federal level to enhance the service delivery system in states.

3) *Community service system expansion*

The community provider base should be further expanded to include more non-profits and faith-based groups.

4) *Utilization of consumers within service delivery systems*

More consumers should be trained and used as service providers.

**Threats:**

1) *State/Federal funding stability*

The lack of stable and predictable funding at both the State and Federal levels poses the largest threat to DMH/MR.

2) *Target population stigma*

Stigma and misconceptions regarding mental illness, mental retardation, and substance abuse threaten the mental health system.

3) *Application of Federal regulations*

The inconsistent and inequitable interpretations and applications of CMS (Center for Medicaid/Medicare Services) regulations and standards to DMH/MR threaten the continuity and consistency of services.

4) *Demand for services beyond system capacity*

The demand for services has increased beyond the financial capacity of the system to adequately respond.

## Your Agency's SWOT

SWOT	<p><i>Strengths:</i></p>          <p><i>Weaknesses:</i></p>          <p><i>Opportunities:</i></p>          <p><i>Threats:</i></p>          
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## A Litmus Test

Yes	No	Checklist
		<i>Strengths/Weaknesses (Internal Assessment)</i>
		Did you define your customers and stakeholders?
		Did you use what your customers and stakeholders think of the agency?
		Did you measure how well the agency serves its customers and stakeholders?
		Have you identified the key internal constraints to satisfying customers and stakeholders?
		Have you defined the key advantages used to meet customer & stakeholder expectations?
		<i>Opportunities/Threats (External Assessment)</i>
		Have you identified the most critical elements of the external environment?
		Are there elements that are likely to become critical within the near future (up to five years)?
		Are there factors that could be advantageous to the agency if capitalized upon?

## CRITICAL ISSUES

<p><b>CRITICAL ISSUES</b></p> <p>Factors that should be removed or added in order for an agency to succeed</p>	<ul style="list-style-type: none"> <li>• Barriers to success or opportunities to enhance the probability of success</li> <li>• Can be acted upon.</li> <li>• Internal critical issues (strengths/weaknesses from SWOT) are within the agency's control</li> <li>• External critical issues (opportunities/threats from SWOT) are outside agency's control</li> </ul>
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## Example

<p><b>CRITICAL ISSUES</b> <b>(Internal)</b></p>	<ol style="list-style-type: none"> <li>(1) For the public to have access to the collections through an on-line catalog system, considerable processing must be completed. (G1)</li> <li>(2) To maintain the quality of our collections and plan for the new Museum of Alabama History, we must continue to acquire new materials that document 20<sup>th</sup> Century Alabama history. (G2)</li> <li>(3) Our museum and reference library should be accessible to the public 192 hours per month. (G3)</li> <li>(4) Records Disposition Authorities (RDAs) are created to ensure all state and local agencies properly maintain their records. (G4)</li> <li>(5) All local agencies are covered by approved RDAs; however, considerable increased follow-up and support is needed to ensure agencies are implementing the RDAs appropriately. (G4)</li> </ol> <p><i>Alabama Department of Archives and History</i></p>
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## Your Agency's Critical Issues

<b>Critical Issues</b>	<i>Internal</i>
	<i>External</i>

## A Litmus Test

Yes	No	Checklist
		Do the critical issues identify issues that can/must be resolved to ensure success?
		Does each critical issue, where applicable, relate to a goal?
		Are opportunities as well as problems considered in the critical issues?
		Are the critical issues integrated with workload to present a coherent picture of actual performance and potential improvement?

# SMART Planning

## Training

### Question 3

*How do we get from here to there?*

- ★ Strategies
- ★ Action Plans

## STRATEGIES

<p><b>STRATEGIES</b></p> <p>An approach to move the agency toward greater efficiency and/or higher quality in delivering services</p>	<ul style="list-style-type: none"> <li>• “What will be done?”</li> <li>• A <b>numbered</b>, single sentence that describes the approach for achieving better performance.</li> <li>• Should overcome critical issues or take advantage of critical opportunities.</li> <li>• A cost for implementation should be included.</li> </ul>
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### Example

<p><b>STRATEGIES</b></p>	<p><i>STRATEGY 1: Expand the Alabama Reading Initiative from 511 to 898 schools. (G2)</i></p> <p><i>FUNDING REQUIRED: \$40 Million</i></p> <p style="text-align: right;"><i>Alabama Department of Education</i></p>
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### One of your Agency’s Strategies

<p><b>STRATEGIES</b></p>	
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### A Litmus Test

Yes	No	Checklist
		Is there a numbered strategy for each critical issue?
		Is each strategy a short descriptive sentence describing what the agency intends to accomplish?
		Does each strategy relate back to an identified goal and workload measures?

## ACTION PLANS

<p><b>ACTION PLAN</b></p> <p>The detail steps necessary to carry out a strategy</p>	<p>How will it be done?</p> <ul style="list-style-type: none"> <li>• Who will do it?</li> <li>• When will it be completed?</li> <li>• How much will it cost?</li> <li>• <b>Lettered</b> sentences below each strategy</li> <li>• Include person responsible &amp; target completion date</li> </ul>
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### Example 1

<p><b>ACTION PLAN</b></p>	<p>Action Plan for Strategy – Expand ARI from 511 to 898 schools. (G2)</p> <p style="text-align: center;">State Department of Education</p>
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<i>Action Steps</i>	<i>Person Responsible</i>	<i>Completion Date</i>
<i>A. Provide common training &amp; planning times for all SDE staff who work with reading to ensure a department-wide approach to reading that is based on research.</i>	<i>Stephens</i>	<i>1/31/2006</i>
<i>B. Fund, design, &amp; implement the Summer Reading Academy, the mechanism for providing 5 days of initial training to the new ARI schools.</i>	<i>Smith</i>	<i>7/31/2006</i>
<i>C. Fund, design, &amp; oversee the 5 days of building-based, ongoing professional development for the new ARI schools</i>	<i>Jones</i>	<i>8/31/2006</i>
<i>D. Fund a reading coach for each of the ARI schools with grades K-3.</i>	<i>Moody</i>	<i>7/31/2006</i>
<i>E. Recruit, hire, &amp; train the regional staff required to support ARI schools with grades K-3 and existing ARI schools with grades 4-12.</i>	<i>Tompkins</i>	<i>7/31/2006</i>
<i>F. Replace, recruit, hire, &amp; train regional staff to support ARFI schools.</i>	<i>Allison</i>	
<i>G. Provide targeted assistance to low-performing ARI schools</i>	<i>Mitchell</i>	<i>9/30/2006</i>
<i>H. Build capacity of superintendents &amp; central office staff and hold them accountable for the performance of their schools.</i>	<i>Morton</i>	<i>Ongoing</i>



## Your Agency's Action Plan for a Strategy

	Action Step	Person	Projected
		Responsible	Completion Date
ACTION PLAN			

## A Litmus Test

Yes	No	Checklist
		Does the action plan specify who is responsible, the projected completion date, and how much it will cost to implement?
		Does the action plan have essential steps required for implementation?
		Does the action plan contain sufficient detail to track milestones for completion?

# SMART Planning

## Training

### Question 4

*How will we assess our progress along the way?*

- ★ Performance Indicators
- ★ Objectives

## PERFORMANCE INDICATORS

<p><b>PERFORMANCE INDICATORS</b></p> <p>Measures used to evaluate progress</p>	<ul style="list-style-type: none"> <li>• Spending – total dollars needed to implement strategies.</li> <li>• Staff – total staff needed to implement strategies.</li> <li>• Efficiency – Unit cost (spending/workload) or Productivity (workload/staff or workload inputs/workload outputs).</li> <li>• Quality – concrete targets to measure quality of services/products (e.g. timeliness, achievement of professional standards, or utilization of resources).</li> </ul>
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<p><b>PERFORMANCE INDICATORS</b></p>	<p><i>Spending</i> – Amount of money needed for the activity</p> <p><i>Staffing</i> – FTE's needed for the activity</p> <p><i>Efficiency (Unit Cost)</i> – Total spending / # of cases disposed = unit cost of disposed cases</p> <p><i>Efficiency (Productivity)</i> - # cases disposed / # of staff = # dispositions per staff</p> <p><i>Efficiency (Throughput)</i> - #cases disposed / # cases filed = throughput percentage</p> <p><i>Quality</i> - # percentage of decisions rendered against timeliness benchmarks</p> <p style="text-align: right;"><i>Alabama Court of Civil Appeals</i></p>
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### Your Agency's Performance Indicators

<p><b>PERFORMANCE INDICATORS</b></p>	<p><i>Spending:</i></p> <p><i>Staffing:</i></p> <p><i>Efficiency:</i></p>  <p><i>Quality</i></p>
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## OBJECTIVES

<p><b>OBJECTIVES</b></p> <p>Statements of intent; how much progress is anticipated</p>	<ul style="list-style-type: none"> <li>• <b>Numerical</b> indicators of progress</li> <li>• Based on performance indicator</li> <li>• Should tie back to mission, goals, critical issues, &amp; strategies</li> <li>• At least four objectives –               <ul style="list-style-type: none"> <li>○ Spending</li> <li>○ Staffing</li> <li>○ Efficiency</li> <li>○ Quality</li> </ul> </li> </ul>
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## Example

<p><b>OBJECTIVES</b></p>	<p><u>Spending</u> – Increase spending by \$263,000 to \$3.5 Million.</p> <p><u>Staffing</u> – Increase staff by 1 employee to 33 FTE employees.</p> <p><u>Efficiency</u> – Reduce the Unit cost per case disposition of \$2,597 to \$2,579 (3.5M/1,375) Increase the throughput ratio from 102% to 105% (1,375 cases disposed / 1,300 cases filed)</p> <p><u>Quality</u> – 80% of cases to be decided within 290 days 90% of cases to be decided within 365 days</p> <p style="text-align: right;"><i>Alabama Court of Civil Appeals</i></p>
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## Your Agency's Objectives

<p><b>OBJECTIVES</b></p>	<p><i>Spending:</i></p> <p><i>Staffing:</i></p> <p><i>Efficiency:</i></p> <p><i>Quality</i></p>
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## A Litmus Test

Yes	No	Checklist
		<i>Spending</i>
		Does the objective quantify the total amount of spending planned for the agency, program or activity?
		<i>Staffing</i>
		Does the staffing objective quantify the level of staffing planned for the agency, program or activity in terms of full-time equivalent employees?
		<i>Efficiency</i>
		Does the efficiency objective quantify the expected relationship between services produced and resources used?
		Unit cost (e.g. cost per patient day, cost per case disposed, cost per client, cost per dollar of revenue)
		Productivity (e.g. caseload per worker, response time, service completions as a percentage of requests)
		<i>Quality</i>
		Does the quality objective quantify the expected level of success in achieving service outcomes?
		Timeliness (e.g. % of applications processed within a time standard)
		Achievement of professional standards (e.g. % of students passing the graduation exam)
		Utilization of resources ( e.g. institutional occupancy rate)

## Appendix D: Agency Listing by Functional Categories

### CULTURAL

Archives and History, Department of  
Arts, Alabama State Council on the  
Aviation Hall of Fame  
Battleship Commission  
Blakeley Historic Authority  
Cahawba Advisory Committee  
Educational Television Commission  
ETV Foundation Authority  
Gorgas Memorial Board  
Historic Ironworks Commission, Alabama  
Historical Commission, Alabama  
Motor Sports Hall of Fame  
Music Hall of Fame  
Space Science Exhibit Commission, Alabama  
St. Stephens Historical Commission  
Women's Commission, Alabama  
Women's Hall of Fame

### ECONOMIC DEVELOPMENT

Agricultural Center Board  
Agricultural and Conservation Development Commission  
\* Agriculture and Industries, Department of  
\* Conservation and Natural Resources, Department of  
Development Office, Alabama  
\* Economic and Community Affairs, Department of  
Farmers' Market Authority  
Housing Finance Authority  
Industrial Development Authority  
Livestock Market Board, Alabama Public  
Tennessee-Tombigbee Waterway Development Authority  
Tourism and Travel, Bureau of  
\* Transportation, Alabama Department of

\* Agency is listed in multiple functional categories.

### EDUCATION

American Legion and Auxiliary Scholarships  
Dental Scholarships Awards Board  
\* Education, Department of-Local Boards of Education-Foundation Program  
Fine Arts, Alabama School of  
Higher Education, Alabama Commission on  
Higher Education Loan Corporation  
Library Service, Alabama Public  
Marine Environmental Sciences  
Mathematics and Science, Alabama School of  
Medical Scholarships Awards Board  
Optometric Scholarships Awards  
Physical Fitness, Commission on  
Postsecondary Education, Department of  
Skills Centers (Part of 2 year College System)  
Supreme Court Library  
\* Veterans Affairs, Department of  
\* Youth Services, Department of

### GENERAL GOVERNMENT

Adjustment, Board of  
Auditor, State  
Building Commission, State  
\* Economic and Community Affairs, Department of  
Ethics Commission, Alabama  
Examiners of Public Accounts  
Finance, Department of  
Flexible Employees Benefits Board  
Governor's Office  
Housing Finance Authority  
Insurance Board, State Employees'  
Insurance Board Public Education Employees' Health (PEEHIB)  
Law Institute, Alabama  
Legislative Council  
Legislative Fiscal Office  
Legislative Reference Service  
Legislature  
Lieutenant Governor, Office of the  
Peace Officers' Annuity and Benefit Fund, Alabama  
Personnel Department, State  
President Pro Tempore of the Senate  
Public Health Care Authority  
Revenue, Department of  
Secretary of State  
Speaker of the House, Office of the  
Supercomputer Authority, Alabama  
Retirement Fund, Judicial  
Retirement System, Employees'  
Retirement System, Teachers'  
Treasurer, State  
Uniform State Laws, Alabama Commission on

\* Agency is listed in multiple functional categories.

HEALTH AND HUMAN SERVICES

Child Abuse and Neglect Prevention Board  
Child Advocacy Center: Network of Child Advocacy Centers, Alabama  
Children's Affairs, Department of  
Children's Services Facilitation Team  
Coalition against Domestic Violence  
\* Education, Department of-Local Boards of Education-Foundation  
Program  
Faith Based and Community Initiatives, Office of  
Family Practice Rural Health Board  
Governor's Office on Disability  
Health Planning and Development Agency, State  
\* Health, Department of Public  
\* Human Resources, Department of  
Indian Affairs Commission  
\* Industrial Relations, Department of  
\* Medicaid Agency, Alabama  
\* Mental Health and Mental Retardation, Department of  
\* Public Health Care Authority  
\* Rehab Services, Department of  
\* Senior Services, Department of  
Sickle Cell Oversight /Regulatory Commission  
\* Veterans Affairs, Department of

\* Agency is listed in multiple functional categories.



LICENSING AND REGULATORY

Accountancy, Alabama State Board of Public  
\* Ag & Industries, Department of  
\* Alcoholic Beverage Control Board  
Architects, Board for Registration of  
Assisted Living Administrators, Board of Examiners of  
Athlete Agents Commission  
Athletic Trainers, Alabama Board of  
Auctioneers, Alabama State Board of  
Banking Department, State  
Bar Association, Alabama State  
Chiropractic Examiners, Alabama State Board of  
Commercial Mobile Radio Service Board  
Contractors, State Licensing Board for General  
Cosmetology, Alabama Board of  
Counseling, Alabama Board of Examiners in  
Credit Union Administration  
Dental Examiners Board  
Dietetics and Nutrition Practice, State Board of Examiners for  
Electrical Contractors, Board of  
Electronic Security Board of Licensure  
Engineers and Land Surveyors, State Board of Licensure for Professional  
Foresters, Alabama State Board of Registration for  
Funeral Service, Alabama Board of  
Geologists, Alabama Board of Licensure for Professional  
\* Health, Department of Public  
Health Planning and Development Agency, State  
Hearing Instrument Dealers, Alabama Board of  
Heating and Air Conditioning Contractors, Board of  
Home Builders Licensure Board  
Home Medical Equipment Services Providers Board  
\* Human Resources, Department of  
\* Industrial Relations, Department of  
Insurance Department  
Interior Design, Alabama State Board of Registration for  
Interpreters and Translators, Alabama Licensure Board for  
Judicial Inquiry Commission  
Labor, Department of  
Landscape Architects, Board of Examiners for  
Liquefied Petroleum Gas Board  
Manufactured Housing Commission, Alabama  
Marriage and Family Therapy Board  
Massage Therapy, Alabama Board of  
Medical Examiners and Licensure  
Nursing Home Administrators, Board of Examiners of  
Nursing, Alabama Board of  
Occupational Therapy, Board of  
Onsite Wastewater Board  
Optometry Board

\* Agency is listed in multiple functional categories.

LICENSING AND REGULATORY (Continued)

Peace Officers' Standards and Training Commission, Alabama  
Pharmacy Board  
Physical Therapy, Board of  
Pilotage Commission  
Plumbers and Gas Fitters Examining Board, Alabama  
Podiatry Board  
Polygraph Examiners, Board of  
Prosthetists and Orthotists, Alabama State Board of  
Psychology, Alabama Board of Examiners in  
Public Service Commission  
Real Estate Appraisers Board, Alabama  
Real Estate Commission, Alabama  
Respiratory Therapy, Alabama State Board of  
Securities Commission  
Social Work Examiners, Alabama State Board of  
\* Soil & Water Conservation Committee  
Speech Pathology and Audiology, Alabama Board of Examiners for  
Surface Mining Commission, Alabama  
Veterinary Medical Examiners, Alabama State Board of

NATURAL RESOURCES AND ENVIRONMENT

Choccolocco Creek Watershed Conservancy District  
Choctawhatchee Pea and Yellow Rivers Watershed Management  
Authority  
\* Conservation & Natural Resources  
Drycleaning Environmental Response Trust Fund Advisory Board  
\* Economic and Community Affairs, Department of  
Environmental Management, Department of  
Forestry Commission, Alabama  
Forever Wild Land Trust, Board of  
Forever Wild Trust Fund/Stewardship  
Geological Survey  
Oil and Gas Board  
\* Soil and Water Conservation Committee  
Underground/Aboveground Storage Tank Trust Fund Management Board  
Warrior-Tombigbee Waterway Association

\* Agency is listed in multiple functional categories.

*PROTECTION OF PERSONS AND PROPERTY*

- \* Alcoholic Beverage Control Board
- Attorney General, Office of the
- \* Conservation and Natural Resources, Department of
- Corrections, Department of
- Court of Civil Appeals
- Court of Criminal Appeals
- Crime Victims Compensation Commission, Alabama
- Criminal Justice Information Center, Alabama
- District Attorneys
- \* Economic and Community Affairs, Department of
- Emergency Management Agency, Alabama
- Forensic Sciences, Department of
- Homeland Security, Office of
- \* Human Resources, Department of
- Judicial Inquiry Commission
- Military Department
- Pardons and Paroles, Board of
- Peace Officers' Standards and Training Commission, Alabama
- Prosecution Services, Office of
- Public Safety, Department of
- Supreme Court Library
- Supreme Court of Alabama
- Unified Judicial System
- \* Youth Services, Department of

\* Agency is listed in multiple functional categories.

NOTE: THIS LISTING OF STATE AGENCIES MAY NOT BE ALL INCLUSIVE.

## Appendix E: SMART Budget Teams

<b>Cultural</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
Archives and History	GF	Doryan Isenhour	Richard Cater	John Cannon
Arts Council	ETF	Delois Thigpen	Anne Elizabeth McGowin	John Cannon
Aviation Hall of Fame	N/A	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield
Battleship Commission	N/A	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
Blakeley Historic Authority	N/A	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield
Cahawba Advisory Committee	N/A	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield
Educational Television	ETF	Delois Thigpen	Richard Cater	John Cannon
ETV Foundation Authority	N/A	Delois Thigpen	Anne Elizabeth McGowin	Andy Benefield
Gorgas Memorial Board	N/A	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield
Historic Ironworks Commission	N/A	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield
Historical Commission	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Motor Sports Hall of Fame	N/A	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield
Space Science Exhibit Commission	ETF	Delois Thigpen	Carlton Smith	Andy Benefield
St. Stephens Historical Commission	N/A	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield
Women's Commission	GF	Doryan Isenhour	Anne Elizabeth McGowin	John Cannon
Women's Hall of Fame	N/A	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield

<b>Economic Development</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
ADECA	GF	Doryan Isenhour	Richard Cater	Andy Benefield
ADO	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Agriculture Center Board	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Agricultural & Conservation Development Commission	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Agriculture and Industries	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Coosa-Alabama River Improvement Association	N/A	Karen Wurtz	Andy Hornsby	Andy Benefield
DOT	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Farmer's Market Authority	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Housing Finance Authority	N/A	Doryan Isenhour	Andy Hornsby	Andy Benefield
Industrial Development Authority	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Livestock Market Board	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Tennessee-Tombigbee Waterway	N/A	Karen Wurtz	Andy Hornsby	Andy Benefield
Tourism and Travel	GF	Doryan Isenhour	Andy Hornsby	Andy Benefield

<b>Education</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
Al College System (Postsecondary)	ETF	Delois Thigpen	Richard Cater	John Cannon
AL Commission on Higher Ed	ETF	Delois Thigpen	Carlton Smith	John Cannon
American Legion & Auxillary Scholarships	ETF	Delois Thigpen	Andy Hornsby	John Cannon
Dental Scholarships Awards Board		Delois Thigpen	Richard Cater	John Cannon
Department of Education	ETF	Angie McCray	Jim Main	John Cannon
Governor's Commission on Physical Fitness	ETF	Delois Thigpen	Anne Elizabeth McGowin	John Cannon
Higher Education Loan Corp.	N/A	Angie McCray	Richard Cater	John Cannon
Marine Environmental Sciences	ETF	Delois Thigpen	Anne Elizabeth McGowin	John Cannon
Medical Scholarships Awards	N/A	Delois Thigpen	Richard Cater	John Cannon
Optometric Scholarships Awards	N/A	Delois Thigpen	Richard Cater	John Cannon
Public Library Service	ETF	Delois Thigpen	Anne Elizabeth McGowin	John Cannon
School of Fine Arts	ETF	Delois Thigpen	Anne Elizabeth McGowin	John Cannon
School of Math and Science	ETF	Delois Thigpen	Carlton Smith	John Cannon
Skills Training Consortia (Postsecondary)	N/A	Delois Thigpen	Richard Cater	John Cannon
Supreme Court Library	GF	Carolyn Middleton	Anne Elizabeth McGowin	John Cannon
Veterans Affairs	ETF	Delois Thigpen	Jim Solomon	Andy Benefield
Youth Services	ETF	Delois Thigpen	Andy Hornsby	John Cannon

<b>General Government</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
Auditor	GF	Doryan Isenhour	A.E. McGowin	Andy Benefield
Board of Adjustment	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Building Commission	GF	Doryan Isenhour	Richard Cater	Andy Benefield
ADECA	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Employees' Insurance Board	GF	Carolyn Middleton	Richard Cater	John Cannon
Employees' Retirement	GF	Carolyn Middleton	Richard Cater	John Cannon
Ethics Commission	GF	Doryan Isenhour	A.E. McGowin	Andy Benefield
Examiners of Public Accts	GF	Jennie Smith	Richard Cater	Andy Benefield
Finance Department	GF	Doryan Isenhour	A.E. McGowin	Andy Benefield
Flexible Employees' Benefits	GF	Carolyn Middleton	Richard Cater	John Cannon
Governor's Office	GF	Carolyn Middleton	A.E. McGowin	Dave Stewart
Housing Finance Authority	N/A	Doryan Isenhour	Andy Hornsby	Andy Benefield
Judicial Retirement System	GF	Carolyn Middleton	A.E. McGowin	Andy Benefield
Law Institute	GF	Jennie Smith	Richard Cater	Andy Benefield
Legislative Council	GF	Jennie Smith	A.E. McGowin	Andy Benefield
Legislative Fiscal Office	GF	Jennie Smith	A.E. McGowin	Dave Stewart
Legislative Reference Svs	GF	Jennie Smith	A.E. McGowin	Andy Benefield
Legislature	GF	Jennie Smith	A.E. McGowin	Dave Stewart
Lt. Governor's Office	GF	Jennie Smith	A.E. McGowin	Dave Stewart
Peace Officers Annuity Bd	GF	Doryan Isenhour	A.E. McGowin	Andy Benefield
Personnel Department	GF	Doryan Isenhour	Richard Cater	Andy Benefield
President Pro Tempore	GF	Jennie Smith	A.E. McGowin	Dave Stewart
Public Employees Health Insurance Bd.	ETF	Angie McCray	Richard Cater	John Cannon
Public Health Care Authority		Jennie Smith	A.E. McGowin	John Cannon
Revenue	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Secretary of State	GF	Doryan Isenhour	A.E. McGowin	Andy Benefield
Speaker of the House	GF	Jennie Smith	A.E. McGowin	Andy Benefield
Supercomputer Authority	ETF	Delois Thigpen	Andy Hornsby	John Cannon
Teachers' Retirement Sys	ETF	Angie McCray	Richard Cater	John Cannon
Treasurer	GF	Doryan Isenhour	A.E. McGowin	Andy Benefield
Uniform State Laws	GF	Jennie Smith	Richard Cater	Andy Benefield

<b>Health &amp; Human Services</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
Child Abuse Board (Children's Trust Fund)	GF	Karen Wurtz	Andy Hornsby	John Cannon
Children's Affairs	GF	Doryan Isenhour	Andy Hornsby	John Cannon
Children's Facilitator	GF	Jennie Smith	Andy Hornsby	John Cannon
Coalition Domestic Violence	GF	Karen Wurtz	Andy Hornsby	John Cannon
Department of Education	ETF	Angie McCray	Jim Main	John Cannon
Family Practice Rural Health	GF	Jennie Smith	Andy Hornsby	John Cannon
Governor's Office on Disability	GF	Doryan Isenhour	Andy Hornsby	John Cannon
Governor's Office of Faith-Based	GF	Doryan Isenhour	Andy Hornsby	John Cannon
Health Department	GF	Jennie Smith	Andy Hornsby	John Cannon
Health Planning	GF	Jennie Smith	Andy Hornsby	John Cannon
Human Resources	GF	Jennie Smith	Layne Finlay	John Cannon
Indian Affairs	GF	Doryan Isenhour	Andy Hornsby	Andy Benefield
Industrial Relations	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Medicaid	GF	Jennie Smith	Layne Finlay	John Cannon
Mental Health	GF	Jennie Smith	Andy Hornsby	John Cannon
Network Child Advocacy Centers	GF	Karen Wurtz	Andy Hornsby	John Cannon
Rehabilitation Services	ETF	Delois Thigpen	Layne Finlay	John Cannon
Senior Services	GF	Jennie Smith	Andy Hornsby	John Cannon
Sickle Cell Oversight and Reg. Commission	ETF	Delois Thigpen	Andy Hornsby	John Cannon
Veterans Affairs	ETF	Delois Thigpen	Jim Solomon	Andy Benefield



<b>Licensing &amp; Regulatory</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
ABC Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Accountancy Board	GF	Jennie Smith	Richard Cater	Andy Benefield
Agriculture and Industries	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Architects Board	GF	Jennie Smith	Richard Cater	Andy Benefield
Assisted Living Administration Board	GF	Jennie Smith	Andy Hornsby	John Cannon
Athletic Agents Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Athletic Trainers Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Auctioneers Board	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Banking Department	N/A	Doryan Isenhour	Richard Cater	Andy Benefield
Bar Association	GF	Karen Wurtz	Richard Cater	Andy Benefield
Chiropractic Examiners	GF	Jennie Smith	Richard Cater	John Cannon
Commercial Mobile Radio Service Board	N/A	Jennie Smith	Richard Cater	John Cannon
Contractors Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Cosmetology Board	GF	Karen Wurtz	Andy Hornsby	John Cannon
Counseling Board	GF	Jennie Smith	Richard Cater	John Cannon
Credit Union Administration	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Dental Examiners Board	N/A	Jennie Smith	Richard Cater	John Cannon
Dietitian/Nutritionist Board	GF	Jennie Smith	Richard Cater	John Cannon
Electrical Contractors Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Electronic Security Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Engineers and Land Surveyors	GF	Karen Wurtz	Richard Cater	Andy Benefield

<b>Licensing &amp; Regulatory</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
Foresters Licensing Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Funeral Services Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Geologists, AL Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Health, Public	GF	Jennie Smith	Andy Hornsby	John Cannon
Health Planning	GF	Jennie Smith	Andy Hornsby	John Cannon
Hearing Instrument Dealers	GF	Doryan Isenhour	Andy Hornsby	John Cannon
Heating and A/C Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Home Builders Licensure Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Home Medical Equipment Board	GF	Karen Wurtz	Richard Cater	John Cannon
Human Resources	GF	Jennie Smith	Andy Hornsby	John Cannon
Industrial Relations	GF	Doryan	Richard Cater	Andy Benefield
Insurance	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Interior Designers Board	GF	Karen Wurtz	Anne Elizabeth McGowin	Andy Benefield
Interpreters and Trans. Board	GF	Jennie Smith	Anne Elizabeth McGowin	John Cannon
Judicial Inquiry Commission	GF	Carolyn Middleton	Anne Elizabeth McGowin	John Cannon
Labor Department	GF	Doryan Isenhour	Richard Cater	John Cannon
Landscape Architects Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
LP Gas Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Manufactured Housing Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Marriage and Family Therapy	GF	Karen Wurtz	Andy Hornsby	John Cannon
Massage Therapy	GF	Karen Wurtz	Richard Cater	John Cannon
Medical Examiners & Licensure Bd.	N/A	Jennie Smith	Richard Cater	John Cannon
Nursing Board	GF	Jennie Smith	Anne Elizabeth McGowin	John Cannon
Nursing Home Administrators	GF	Jennie Smith	Anne Elizabeth McGowin	John Cannon
Occupational Therapy	GF	Jennie Smith	Richard Cater	John Cannon
Onsite Wastewater Board	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Optometry Board	N/A	Jennie Smith	Andy Hornsby	Andy Benefield
Peace Officers Standards and Training	ETF	Delois Thigpen	A. E. McGowin	Andy Benefield
Pharmacy Board	N/A	Jennie Smith	A. E. McGowin	Andy Benefield
Physical Therapy	GF	Jennie Smith	Richard Cater	John Cannon
Plumbers and Gas Fitters Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Pilotage Commission	N/A	Karen Wurtz	Richard Cater	Andy Benefield
Podiatry Board	N/A	Jennie Smith	A. E. McGowin	Andy Benefield
Polygraph Examiners Board	GF	Doryan Isenhour	Anne Elizabeth McGowin	Andy Benefield
Prosthetists and Orthotists	GF	Jennie Smith	Andy Hornsby	John Cannon

<b>Licensing &amp; Regulatory</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
Psychology Board	GF	Jennie Smith	Richard Cater	John Cannon
Public Service Commission	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Real Estate Appraisers Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Real Estate Commission	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Respiratory Therapy, State Board of	GF	Karen Wurtz	Andy Hornsby	John Cannon
Securities Commission	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Social Work Examiners	GF	Doryan Isenhour	Andy Hornsby	John Cannon
Soil & Water Conservation Committee	GF	Karen Wurtz	Anne Elizabeth McGowin	Andy Benefield
Speech Pathology and Audiology	GF	Jennie Smith	Andy Hornsby	John Cannon
Surface Mining Commission	GF	Karen Wurtz	Richard Cater	Andy Benefield
Veterinary Examiners	GF	Doryan Isenhour	Anne Elizabeth McGowin	John Cannon

<b>Natural Resources &amp; Environment</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
ADECA	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Chocoolocco Watershed	GF	Karen Wurtz	Richard Cater	Andy Benefield
Chotawhatchee-Pea River	GF	Karen Wurtz	Richard Cater	Andy Benefield
Conservation	GF	Karen Wurtz	Jim Solomon	Andy Benefield
Drycleaning Environmental Response Trust Fund	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Environmental Management	GF	Karen Wurtz	Richard Cater	Andy Benefield
Forestry Commission	GF	Karen Wurtz	Richard Cater	Andy Benefield
Forever Wild Land Trust	GF	Karen Wurtz	Andy Hornsby	Andy Benefield
Forever Wild Trust Fund	N/A	Karen Wurtz	Andy Hornsby	Andy Benefield
Geological Survey	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Oil and Gas Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Soil and Water	GF	Karen Wurtz	Anne Elizabeth McGowin	Andy Benefield
Underground/Aboveground Storage Tank Trust Fund Management Board	GF	Karen Wurtz	Richard Cater	Andy Benefield
Warrior-Tombigbee Waterway Association	N/A	Karen Wurtz	Richard Cater	Andy Benefield

<b>Protection of Persons &amp; Property</b>	<b>Fund Source</b>	<b>Budget Designee</b>	<b>Finance Director's Office Designee</b>	<b>Policy Designee</b>
Alcoholic Beverage Control Board	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Attorney General	GF	Doryan Isenhour	Richard Cater	Andy Benefield
Conservation & Natural Resources	GF	Karen Wurtz	Jim Solomon	Andy Benefield
Corrections	GF	Karen Wurtz	Richard Cater	Andy Benefield
Court of Civil Appeals	GF	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
Court of Criminal Appeals	GF	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
Crime Victims Compensation	GF	Karen Wurtz	Anne Elizabeth McGowin	Andy Benefield
Criminal Justice Info Center	GF	Karen Wurtz	Anne Elizabeth McGowin	Andy Benefield
District Attorneys	GF	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
ADECA	GF	Doryan	Richard Cater	Andy Benefield
EMA	GF	Karen Wurtz	Richard Cater	Andy Benefield
Forensic Sciences	GF	Karen Wurtz	Richard Cater	Andy Benefield
Homeland Security	GF	Karen Wurtz	Richard Cater	Andy Benefield
Human Resources	GF	Jennie Smith	Andy Hornsby	John Cannon
Judicial Inquiry Commission	GF	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
Military Department	GF	Karen Wurtz	Jim Solomon	Andy Benefield
Pardons & Paroles	GF	Karen Wurtz	Richard Cater	Andy Benefield
Peace Officers Standards & Training Commission	GF	Delois Thigpen	Anne Elizabeth McGowin	Andy Benefield
Prosecution Services	GF	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
Public Safety	GF	Karen Wurtz	Anne Elizabeth McGowin	Andy Benefield
Supreme Court Library	GF	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
Supreme Court of Alabama	GF	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
Unified Judicial System	GF	Carolyn Middleton	Anne Elizabeth McGowin	Andy Benefield
Youth Services	ETF	Delois Thigpen	Andy Hornsby	John Cannon